



***Amended 10/30 8am
(p61& p64)**

BOARD OF DIRECTORS 2020

DAVE PINE, CHAIR
DEV DAVIS, VICE CHAIR
JEANNIE BRUINS
CINDY CHAVEZ
RON COLLINS
STEVE HEMINGER
CHARLES STONE
SHAMANN WALTON
MONIQUE ZMUDA

JIM HARTNETT
EXECUTIVE DIRECTOR

AGENDA

PENINSULA CORRIDOR JOINT POWERS BOARD

Due to COVID-19, this meeting will be conducted via teleconference only (no physical location) pursuant to the [Governor’s Executive Orders N-25-20 and N-29-20](#).

Directors, staff and the public may participate remotely via Zoom at

<https://zoom.us/j/91412776292?pwd=cVdKa01PK2FKdm1CSUwwZXR3RmlkUT09>

or by entering Webinar ID: **914 1277 6292**, Passcode: **909765** in the Zoom app for audio/visual capability or by calling 1-669-900-6833 (enter webinar ID and press # when prompted for participant ID) for audio only. The video live stream will be available after the meeting at

<http://www.caltrain.com/about/bod/video.html>

Public Comments: Members of the public are encouraged to participate remotely. Public comments may be submitted to publiccomment@caltrain.com prior to the meeting’s call to order so that they can be sent to the Board as soon as possible, while those received during or after an agenda item is heard will be included into the Board’s weekly correspondence and posted online at

http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html.

Oral public comments will also be accepted during the meeting through *Zoom or via the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM. Use the Raise Hand feature to request to speak. For public participants calling in, dial *67 if you do not want your telephone number to appear on the live broadcast. Callers may dial *9 to use the Raise the Hand feature for public comment and press *6 to accept being unmuted when recognized to speak for two minutes or less. Each commenter will be automatically notified when they are unmuted to speak for two minutes or less. The Board Chair shall have the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting.

November 5, 2020 – Thursday

9:00 am

1. Call to Order / Pledge of Allegiance
2. Roll Call
3. General Counsel Report out from previous special and closed sessions of **INFORMATIONAL** October 1, 2020
 - a. Special Meeting - Closed Session: Conference with Legal Counsel – Anticipated Litigation. Initiation of litigation pursuant to Govt. Code Section 54956.9(d)(4): One potential case
 - b. Closed Session: Conference with Legal Counsel – Anticipated Litigation Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case
 - c. Closed Session pursuant to Government Code Section 54956.8: Conference with Real Property Negotiators. Property: 201 Gateway Blvd., South San Francisco, CA 94080 (APN 015-024-240).

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

4. 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.

5. Consent Calendar

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

- a. Approve Regular and Special Meeting Minutes of October 1, 2020 MOTION
- b. Receive Key Caltrain Performance Statistics – September 2020 MOTION

Approved by the Finance Committee

- c. Approve Finance Committee Calendar MOTION
- d. Accept Statement of Revenues and Expenses for the Period Ended September 30, 2020 MOTION
- e. Amend the Peninsula Corridor Joint Powers Board Investment Policy and Reauthorize Investment of Monies with the Local Agency Investment Fund RESOLUTION
- f. Award of Contract for Broadway Burlingame Grade Separation Project Final Design Services RESOLUTION
- g. Authorization for Execution of Two Change Orders to the Peninsula Corridor Electrification Project Contract with Proven Management, Inc. for Relocation and Protection of Existing Water Lines in Conflict with the Inspection Pit Extension at CEMOF RESOLUTION
- h. Amendment of Public Safety Communications Services Agreement RESOLUTION
- i. Update on the Execution of the FY 2021 Fuel Hedging Program INFORMATIONAL
- j. Update on the Current Status of the Operating Contract with TransitAmerica Services, Inc. INFORMATIONAL

Approved by the Work Program-Legislative-Planning Committee

- k. Approve WPLP Committee Calendar MOTION
 - l. Receive State and Federal Legislative Update INFORMATIONAL
6. Report of the Chair
- a. Report from the Governance Process Ad Hoc Committee and Guidance regarding Independent Legal Counsel
 - b. Local Policy Maker Group (LPMG) INFORMATIONAL
7. Report of the Executive Director
- a. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report INFORMATIONAL
 - b. Caltrain Positive Train Control (PTC) Project Update – October 2020 INFORMATIONAL
8. Report of the Citizens Advisory Committee INFORMATIONAL
9. Approval of the Closure of Atherton Station and Related Elimination of Weekend Service at the Station; Execution of Related Agreements with Town of Atherton; Adoption of Associated Addendum to the Final PCEP Environmental Impact Report (EIR); and Approval of Title VI Equity Analysis RESOLUTION
10. COVID Recovery Planning Update - Service Planning INFORMATIONAL
11. Resolution Supporting an Alternative to Plan Bay Area (PBA) 2050 Strategy EN7: "Institute Telecommuting Mandates for Major Office-Based Employers" RESOLUTION
12. Correspondence

13. Board Member Requests
14. General Counsel Report
15. Date/Time of Next Regular Meeting: Thursday, December 3, 2020 at
9:00 am via Zoom
16. Adjourn

INFORMATION FOR THE PUBLIC

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

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

Free translation is available; Para traducción llama al 1.800.660.4287; 如需翻译 请电 1.800.660.4287

Date and Time of Board and Committee Meetings

JPB Board: First Thursday of the month, 9:00 am; JPB Finance Committee: Fourth Monday of the month, 1:30 pm. Date, time and location of meetings may be changed as necessary. Meeting schedules for the Board and committees are available on the website.

Location of Meeting

Due to COVID-19, the meeting will only be via teleconference as per the information provided at the top of the agenda. the Public may not attend this meeting in person. *Should Zoom not be operational, please check online at [http://www.caltrain.com/about/bod/Board of Directors Meeting Calendar.html](http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html) for any updates or further instruction.

Public Comment*

Members of the public are encouraged to participate remotely. Public comments may be submitted to publiccomment@caltrain.com prior to the meeting's call to order so that they can be sent to the Board as soon as possible, while those received during or after an agenda item is heard will be included into the Board's weekly correspondence and posted online at [http://www.caltrain.com/about/bod/Board of Directors Meeting Calendar.html](http://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html) . Oral public comments will also be accepted during the meeting through Zoom or the teleconference number listed above. Public comments on individual agenda items are limited to one per person PER AGENDA ITEM and each commenter will be automatically notified when they are unmuted to speak for two minutes or less. The Board Chair shall have the discretion to manage the Public Comment process in a manner that achieves the purpose of public communication and assures the orderly conduct of the meeting.

Accessible Public Meetings/Translation

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 and provide comments at/related to public meetings. Please submit a request, including your name, phone number and/or email address, and a description of the modification, accommodation, auxiliary aid, service or alternative format requested at least at least 72 hours in advance of the meeting or hearing. Please direct requests for disability-related modification and/or interpreter services to the Title VI Administrator at San Mateo County Transit District, 1250 San Carlos Avenue, San Carlos, CA 94070-1306; or email titlevi@samtrans.com; or request by phone at 650-622-7864 or TTY 650-508-6448.

Availability of Public Records

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

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

MINUTES OF OCTOBER 1, 2020 (for Regular and Special Board meetings)

MEMBERS PRESENT: D. Pine (Chair), C. Chavez (9:12 a.m.), D. Davis, J. Bruins, R. Collins, S. Heminger, C. Stone, S. Walton, M. Zmuda

MEMBERS ABSENT: None

STAFF PRESENT: J. Hartnett, C. Mau, J. Cassman, S. Van Hoften, M. Bouchard, J. Funghi, C. Gayotin, D. Hansel, C. Fromson, S. Murphy, , S. Petty, D. Seamans, S. Wong

1. CALL TO ORDER / PLEDGE OF ALLEGIANCE

Chair Dave Pine called the meeting to order at 9:02 am and led the pledge of allegiance.

2. ROLL CALL

District Secretary Dora Seamans called the roll and a quorum was confirmed.

3. PUBLIC COMMENT FOR ITEMS NOT ON THE AGENDA

Roland LeBrun, San Jose, commented Mayor Ricardo securing \$7.1 billion for high speed rail and Caltrain in Plan Bay Area 2050, \$3 billion for extension to Gilroy including five grade separations in San Jose. He also referred to his in the correspondence packet on VTA and Google plans and he suggested that Caltrain take the lead in Diridon.

Sonia Elkes referred to an email she sent in and spoke in support of using the empty Caltrain parking lot on El Camino Real to build a temporary mini bike park.

Mr. Hartnett noted that staff reviewing this matter for a proposed temporary bike park and planning use of property along the right-of-way is complex.

Aleta Dupree, Oakland, commented on Clipper START, equity, moving away from paper tickets, and expressed appreciation for continuing to make the Citizen's Advisory Committee (CAC) meetings accessible and user friendly.

Adrian Brandt, San Mateo County, commented wasted idling time at stations and spoke in favor of tightening the current schedule.

4. CONSENT CALENDAR

- a. Approved Meeting Minutes of September 3, 2020**
- b. Received Key Caltrain Performance Statistics – August 2020**
- c. Approve 2021 Board Meeting Calendar**

- d. Receive State and Federal Legislative Update**
- e. Accept Statement of Revenues and Expenses for the Period Ended June 30, 2020**
- f. Accept Statement of Revenues and Expenses for the Period Ended August 31, 2020**
- g. Award of Contract for Delaware Street Storm Drain Relocation Project Construction**

Director Cindy Chavez arrived at 9:12 a.m.

Motion/Second: Bruins/Davis moved to approve the Consent Calendar
Ayes: Bruins, Chavez, Collins, Heminger, Stone, Walton, Zmuda, Davis, Pine
Noes: None
Absent: None

5. ADOPTION OF FISCAL YEAR 2021 SECOND QUARTER OPERATING BUDGET AND AMENDMENT OF THE FISCAL YEAR 2021 CAPITAL BUDGET

Executive Director Jim Hartnett introduced the balanced budget, including gap-closing measures for the \$18.5 million gap. He stated that federal funding, ballot measure outcomes, and ridership were unclear. Mr. Hartnett noted that they have spoken with member agencies for additional funding with no commitments offered. He stated that topics discussed with member agencies included costs for new legal counsel, auditor services, ballot measure cost, and ridership shortfall cost. Mr. Hartnett mentioned that they would come back to the Board in December with a balanced budget for the remainder of the fiscal year, particularly with respect to the ballot measure and any federal funds.

Derek Hansel, Chief Financial Officer, provided the presentation and spoke about the \$18.5 million shortfall for Fiscal Year (FY) 2021, current reduced service levels, and challenges in gap filling, including areas of uncertainty on Measure RR, additional federal relief, and ridership recovery. Mr. Hansel walked through the application of the CARES Act, changes from the first quarter adopted budget, proposed revenues and expenses, revenue assumptions, sensitivity of revenue to ridership, cost to operate Caltrain, and immediate and long term gap closing scenarios. He potential gap closing measures included application of additional reserves, use of State Rail Assistance (SRA) funds, naming rights, fiber, sale of Low Carbon Fuel Standard (LCFS) Credits, real estate, and elimination of weekend service; however, there is concern that these may not be sufficient to fund significant additional shortfalls related to ridership or other budgeted expenses that were discussed. He also presented FY22 challenges (particularly the ending of Federal funding before ridership recovers), proposed amendments to the capital budget, proposed capital funding, and next steps. Mr. Hansel pointed out additional funding in the capital budget from wayside bike parking, funding from San Mateo grade crossing improvement design and additional fund possibility from the state of good repair (SOGR) and Clipper CID card reader. He pointed out a redline change to the budget resolution for achieving a balanced budget by the December Board meeting.

Board members had a robust discussion and staff provided further clarification in response to the Board comments and questions regarding the following topics:

- TASI (Transit America Services, Inc.) expenses and whether there would be a renegotiation in contract for reduction in services for saving
- Revenue assumptions for GoPass
- Additional costs of legal services
- JPA and Samtrans powers in regards to unbalanced budgets
- The 5 percent ridership assumption and resulting \$13 million shortfall
- How much more member agencies could contribute
- Adopting a Board policy to require a balanced budget
- The option to stop capital funding and shifting those funds to operating for a year
- Measure W funding flexibility
- Why administrative and shuttle service expenses (on slide 6) were not negative
- Allocation of the next level of federal relief for Caltrain
- Minimizing the number of trains per day
- The most recent increase in fare revenue
- Maintaining consistent member contribution from previous years
- Retaining and employing skilled staff
- Marketing to increase ridership

Public Comment

Roland Lebrun, San Jose, commented on balanced budgets, capital budget, the Broadway Grade Separation budget funding source, , questioned how can the Board authorizing \$11 million, ridership based on baby bullets, and restoring ridership by 10 percent.

Aleta Dupree, Oakland, commented on focusing on sources of revenue funding, a balanced budget, maintaining Clipper readers, and maintaining weekend services.

Jeff Carter, Millbrae, commented on passing the budget, keeping Caltrain running, additional federal funding, passing Measure RR, running Caltrain seven days a week, and removing padding with limited stop trains.

Vaughn Wolffe, Pleasanton, commented on running advertising to increase ridership and running express trains.

Sonia Elkes commented on opening up empty lots to bike parks.

Andy Chow, Redwood City, commented on approving the budget, current freeway congestion, and current opportunities to take uncrowded Caltrain.

Adrian Brandt, San Mateo County, commented on looking at staff costs and minimizing current contract conductor requirements.

Motion/Second: **Davis/Bruins moved to approve the amended resolution**

Ayes: Bruins, Chavez, Collins, Heminger, Stone, Walton, Zmuda, Davis, Pine

Noes: None

Absent: None

6. REPORT OF THE CHAIR

Chair Pine provided updates on the following: the Measure RR campaign is moving along well, fundraising broke the \$2 million, and that it has been endorsed by Mercury News, Chronicle, and San Mateo Daily Journal; mailers, TV ads, digital campaigns, grassroots (Friends of Caltrain) phone banking, are all in progress.

Chair Pine noted that the Governance process ad hoc committee vision is to think through processes for a governance recommendation by end of next year. He noted that the Committee is serving as a sounding board for staff for 1) hiring of independent auditor and 2) appointment of independent counsel. He stated that they have a request for proposal (RFP) regarding the auditor appointment (expected to come back to the Board in January), and appointment of independent counsel is in progress. They have retained Renee Mauler who has 30 years of experience in public transit, worked with Federal Transit Association (FTA), and has worked on Caltrain previously. Chair Pine stated that the plan is to bring forth the scope of work for the November 5th Board Meeting for review.

a. Local Policy Maker Group (LPMG)

The LPMG meeting was cancelled last month and there was nothing to report.

7. REPORT OF THE EXECUTIVE DIRECTOR

Jim Hartnett, Executive Director, noted the report in the packet and expressed appreciation for the work done by finance and Caltrain staff on the budget.

a. Peninsula Corridor Electrification Project (PCEP) Monthly Progress Report

John Funghi, CalMod Chief Officer, provided the progress report which included the following: electrification infrastructure was underway in the electric multiple-unit (EMUs) assembly; Balfour Beatty, Inc. is focusing on the signal system duct bank work; the first signal cutover is scheduled early October 17; Balfour has completed 49 foundations in August and 68 foundations in September, with 1100 foundations left to complete; the pole wires and the entire alignment is projected to be completed by the end of 2021 with electrification infrastructure completed by the first quarter of 2022; all the switch gears will be received in 2021. He said PG&E is still planning to break ground on the additional interconnection pole work that will be located on Valley Transportation Authority (VTA) property; it will power both EMU and future BART to San Jose projects. He stated that the train set would be tested in January 2021. He stated a \$168 million in contingency with a slight surplus of \$1 million.

b. Electric Train Virtual Reality Experience (post on board calendar)

Casey Fromson, Director of Government and Community Affairs, announced the launch of Caltrain's electric train virtual reality experience. She stated that it displays high performance features and amenities and allow riders to envision their future riding experience. Ms. Fromson said it could be accessed at calmod.org/vr.

Michelle Bouchard, Chief Operating Officer, provided a virtual walkthrough of the new electric cars. She noted public information screens, emergency intercom buttons,

lower, medium, and high levels, and a noticeably quieter environment due to no diesel engine and insulation. She pointed out seats installed on mid-level to provide critical capacity, and how the seats, colors, materials were chosen based on outreach and feedback, coat hooks with the seats, electronic screens outside, luggage racks and lighting helps make the train feel wide open. There are also electrical outlets under the seats, cantilevered seats help with cleaning, legroom, and luggage. Ms. Bouchard walked through the onboard restroom, baby changing table, hand holds, and vacuum toilet (which saves more energy and promotes more cleanliness). She noted the bike car is clearly indicated with large logos on the door and camera safety features.

c. Caltrain Positive Train Control (PTC) Project Update – September 2020

Ms. Bouchard reported that the safety plan was submitted in June in line for certification by end of the year, there would be a close out of the capital project in nine months, and there would be an anticipated ramp up to maintain the system. They have awarded a contract to Wabtec and they have begun the first partial year of operation and maintenance of the system.

Mr. Hartnett expressed appreciation for Board comments and questions. He stated that Caltrain is an efficient rail system, but under resourced, with fewer people and more to do. He thanked the Board and everyone on the team and noted that the Board standing committees provide invaluable input to the staff.

Director Monique Zmuda commented on intelligent work advancing PTC with the federal mandate despite challenges.

Public Comment

Roland Lebrun, San Jose, commented on Mr. Hartnett assigning independent legal counsel instead of providing a list for Board approval. He commented on the chairs on the upper level, \$11 million in the budget to remove doors, PTC success, and viewing all panelists instead of one-person view online.

Aleta Dupree, Oakland, commented on enjoying the virtual reality presentation, especially the bathroom similar to Excelsa Express on Amtrack, and Stamford Connecticut. She expressed concerns about foundation progress, with an average of 60 foundations per month it will take two years to complete.

Director Jeannie Bruins clarified that they are not moving forward with moving with hiring general counsel, rather they are bringing forth something in December for Board input.

8. Report of the Citizens Advisory Committee (CAC)

Brian Shaw, Citizens Advisory Committee Chair, provided a report for the September meeting. He reported that they were joined by the new alternate members: Kathleen Maxwell from San Francisco and Neeraj Mathur from Santa Clara County. He reported on public comments on completing foundations and temporary skate parks. Mr. Shaw reported CAC member comments on high-speed rail requiring extra passing tracks, plans for empty lots, addressing community needs, transit oriented development update, encouraging compliance with the Bay Area Healthy Transit Plan. He reported

public comments on compliance with higher ridership, and fogging nightly and in between stops when possible.

9. COVID Recovery Planning Update - Equity & Service Planning

Sebastian Petty, Deputy Chief of Planning, provided the presentation; topics included ongoing recovery planning efforts, equity workplan (in service, fares, community, interactions, accountability) winter service change, who's riding Caltrain during COVID-19, and where riders are travelling.

Director Cindy Chavez asked about creating or embedding a subcommittee to focus on equity in Caltrain to make changes in a meaningful way or demonstrate priorities. She spoke about ridership and how Caltrain contracts, hires, develops grade crossings, and so on. Mr. Hartnett replied that their current priority is to sustain daily services, that they could not reassign Mr. Petty for the scope of this work, and would have to give it further thought. Director Chavez stated she would not want to miss this opportunity for change. Mr. Hartnett replied that there is a sense of excitement about access to materials that would help in a foundational way.

In response to Director Chavez's questions on the Office of Civil Rights, Executive Director Hartnett and Carter Mau, Deputy General Manager/CEO, provided the following clarifications: the Civil Rights office is in SamTrans, is partially funded by Caltrain; the Civil Rights Office has a manager for the Disadvantaged Business Enterprise (DBE) program focused and a Title 6 administrator working with Caltrain Planning on the Business and Service Plans. Mr. Mau stated that they are doing a lot of demographic analysis of communities affected and going through an effort called Reimagined San Francisco.

Director Steve Heminger stated that Caltrain should be moving from commuter railroad to metro service up and down the corridor, and that the baby bullets are the purest expression of that. He noted that currently Caltrain has a hybrid of slow metro service, and asked if that service could be sped up and whether there were some stations that could be skipped. Mr. Petty replied that they would return with this analysis and the overall strategy is to move to a metro style service. He said they are currently looking at the style of service that could be provided (local, express, or skip stop trains). Director Heminger asked about stopping at Stanford more often. Mr. Petty said Stanford has a shuttle available at the Palo Alto stop.

Director Stone commented on conversations about things that cost more money and depending on how the year goes and what Caltrain resources are later in the year. He supported requesting more matching funds from supportive partners.

Chair Pine spoke on implementing equity policies that will take time, people, commitment, and staff challenges.

Public Comment

Roland Lebrun, San Jose, commented on Stanford service for the nurses, the May 11 board correspondence, making six baby bullets safe to run at 25 percent capacity, and capital corridor is \$5 million and not \$25 million.

Aleta Dupree, Oakland, commented on continuing equity as an investment, clock-facing schedules, travelling on off peak hours, and consistent services throughout the day.

Adina Levin, Friends of Caltrain, commented about fare integration studies, innovative ways of people using Caltrain now, and equitable access to Caltrain.

Vaughn Wolffe, Pleasanton, commented on running more express trains, more people will want to ride, as there would be an advantage in travelling faster than driving. He commented on COVID-19 being an air borne virus and not surface area virus, hence cleaning should be aerosol.

Jeff Carter, Millbrae, commented on the presentation, increasing frequency mid-day, increasing express trains, and removing padding. He commented on fare equity going from point to point and the multiplier for the monthly pass.

10. CORRESPONDENCE

Correspondence was available online.

11. BOARD MEMBER REQUESTS

There were no requests.

14. GENERAL COUNSEL REPORT

Joan Cassman, General Counsel, stated that there would be three closed sessions. One on anticipated litigation, one on property negotiation (electrification easement rights), and the special Board meeting to address anticipated litigation. She stated that the public would comment on the three closed sessions first, the Chair would adjourn this meeting, they would reconvene in closed session, and she would report any action at the November Board meeting. She noted that no action was anticipated from any of the closed sessions.

- a. Closed Session: Conference with Legal Counsel – Anticipated Litigation
Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case
- b. Closed Session pursuant to Government Code Section 54956.8: Conference with Real Property Negotiators Property: 201 Gateway Blvd., South San Francisco, CA 94080 (APN 015-024-240)
Agency Negotiators: Joan L. Cassman, General Counsel, Brian Fitzpatrick, Director of Real Estate, and Gary Cardona, Manager, Capital Project Support & Property Management
Negotiating Parties: Britannia Gateway II Limited Partnership, a Delaware Limited Partnership
Under negotiation: Price and terms of contract.

Special Meeting Agenda – October 1, 2020 Closed Session (Following Regular Board Meeting): Conference with Legal Counsel – Anticipated Litigation Initiation of litigation pursuant to Government Code Section 54956.9(d)(4): One potential case

Public Comment

Roland Lebrun, San Jose, commented on waiting a month for the report out from closed session.

Chair Pine noted that there was no anticipated report out for this closed session. Ms. Cassman stated the Brown Act allows for adjourning to a closed session and reporting out at the next meeting.

15. DATE/TIME OF NEXT REGULAR MEETING: Thursday, November 5, 2020 at 9:00 am via Zoom

16. ADJOURN

The meeting adjourned at 12:38 pm.

An audio/video recording of this meeting is available online at www.Caltrain.com. Questions may be referred to the Board Secretary's office by phone at 650.508.6242 or by email to Board@Caltrain.com.

DRAFT

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

**MINUTES OF OCTOBER 1, 2020
SPECIAL MEETING**

MEMBERS PRESENT: D. Pine (Chair), C. Chavez, D. Davis, J. Bruins, R. Collins,
S. Heminger, C. Stone, S. Walton, M. Zmuda

MEMBERS ABSENT: D. Pine, C. Stone

STAFF PRESENT: J. Hartnett, C. Mau, J. Cassman, S. Van Hoften, M. Bouchard, J.
Funghi, C. Gayotin, D. Hansel, C. Fromson, S. Murphy, , S. Petty,
D. Seamans, S. Wong

1. CALL TO ORDER

Chair Dave Pine called the meeting to order at 12:39 pm.

2. ROLL CALL

District Secretary Dora Seamans called the roll and confirmed a quorum.

3. GENERAL COUNSEL REPORT

**Closed Session: Conference with Legal Counsel – Anticipated Litigation Initiation of
litigation pursuant to Government Code Section 54956.9(d)(4): One potential case**

The Board convened a closed session at 12:39 pm.

The Board reconvened into open session at 1:40 pm.

Joan Cassman, Legal Counsel, reported no disclosures from the closed session.

4. ADJOURN

The special meeting adjourned at 1:40 pm.

**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 – SEPTEMBER 2020**

ACTION

Staff Coordinating Council recommends that the Board receive the Performance Statistics Report for September 2020.

SIGNIFICANCE

Staff will provide monthly updates to Key Caltrain Performance Statistics, Caltrain Shuttle Ridership, Caltrain Promotions, Digital Metrics and Social Media Analytics. It should be noted that this report reflects impacts from the COVID-19 pandemic.

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

The coronavirus (COVID-19) pandemic continues to have drastic impacts on Caltrain ridership and revenue. Ridership estimates are developed using daily conductor counts at 14 key stations and Clipper tag-ons at these 14 key stations. This methodology has been in use since April 2020.

In September 2020, Caltrain's Average Weekday Ridership (AWR) decreased by 95 percent to 3,654 from September 2019 AWR of 72,387. The total number of passengers who rode Caltrain in September 2020 decreased by 94.1 percent to 93,484 from 1,584,833 September 2019 ridership.

Caltrain has put in place measures and procedures to ensure safe transportation, including extra cleaning and sanitization of the passenger cars and high-touch areas on board and at stations.

This month ticket sales decreased from September 2019 for:

- One Way tickets: 91.6 percent
- ED One Way tickets: 84.9 percent
- Day Passes: 94.3 percent
- ED Day Passes: 89.3 percent

- Monthly Passes: 95.9 percent
- ED Monthly Passes: 91.3 percent

Other ticket sales and farebox revenue statistics trended as follows:

- Caltrain Mobile Ticketing accounted for 8.7 percent (8,168 rides) of the monthly ridership and 1.7 percent (\$51,318) of the monthly ticket sales revenue.
- Number of Eligible Go Pass Employees decreased to 87,335 from 90,056 from September 2019.
- Number of the participating Go Pass Companies decreased to 120 in September 2020 from 133 in September 2019.
- Total Farebox Revenue decreased by 67.7 percent to \$2,952,638 from September 2019.

The decrease in farebox revenue was primarily due to the shelter-in-place orders in three counties within Caltrain service areas associated with the COVID-19 pandemic.

On-time performance (OTP) for September 2020 was 97.5 percent compared to 93 percent OTP for September 2019. In September 2020, there were 479 minutes of delay due to mechanical issues compared to 620 minutes in September 2019.

Looking at customer service statistics, the number of complaints per 100,000 passengers in September 2020 is not provided since numbers are skewed with the significant decrease in ridership due to COVID-19 pandemic.

Shuttle ridership for September 2020 decreased 85.6 percent from September 2019. When the Marguerite shuttle ridership is removed, the impact to ridership was decrease of 94.2 percent. For station shuttles:

- Millbrae-Broadway shuttle: 20 average daily riders
- Weekend Tamien-San Jose shuttle: 7 average daily riders

Table A
September 2020

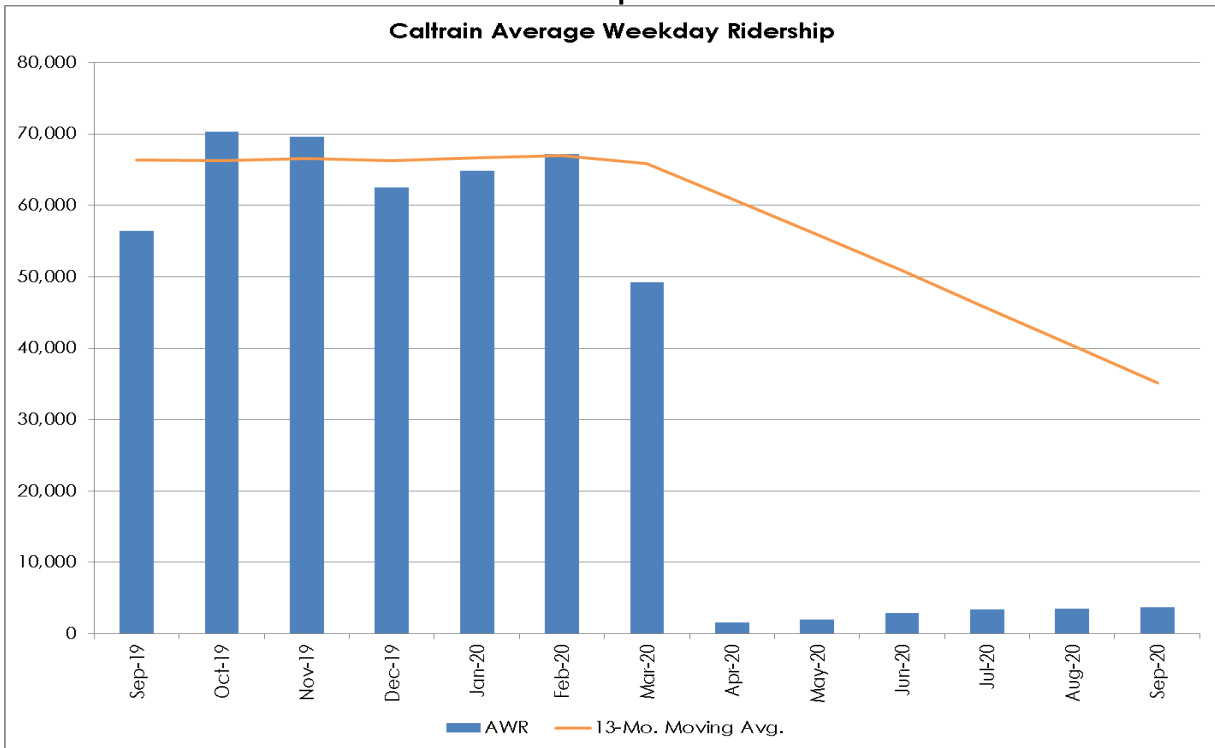
	FY2020	FY2021	% Change
Total Ridership	1,584,833	93,484	-94.1%
Average Weekday Ridership	72,387	3,654	-95.0%
Total Farebox Revenue	\$ 9,128,382	\$ 2,952,638	-67.7%
On-time Performance	93.0%	97.5%	4.9%
Average Weekday Caltrain Shuttle Ridership	8,663	1,250	-85.6%

Fiscal Year to Date

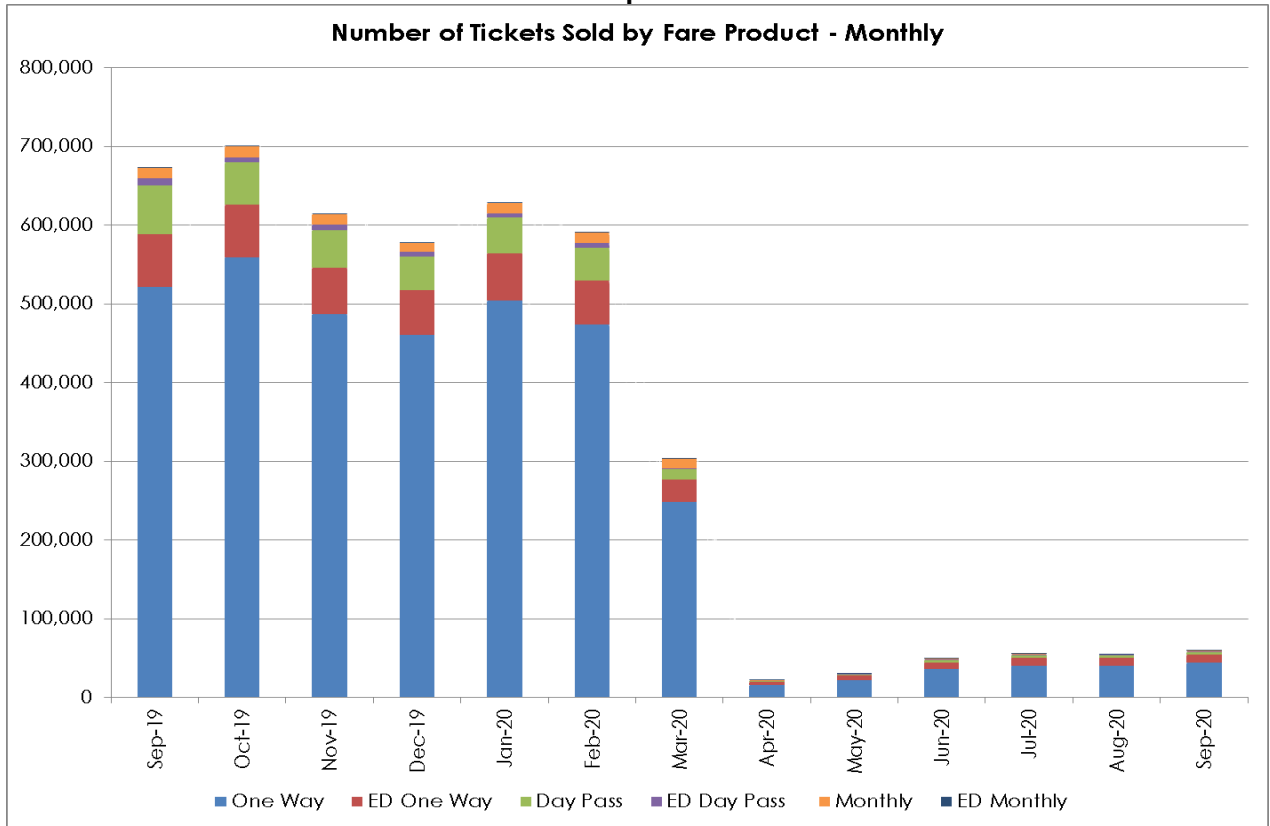
	FY2020	FY2021	% Change
Total Ridership	4,960,840	276,071	-94.4%
Average Weekday Ridership	71,479	3,534	-95.1%
Total Farebox Revenue	\$ 27,269,667	\$ 8,908,649	-67.3%
On-time Performance	93.5%	96.6%	3.2%
Average Weekday Caltrain Shuttle Ridership	8,700	1,081	-87.6%

* = Items revised due to calibration to the ridership model

Graph A

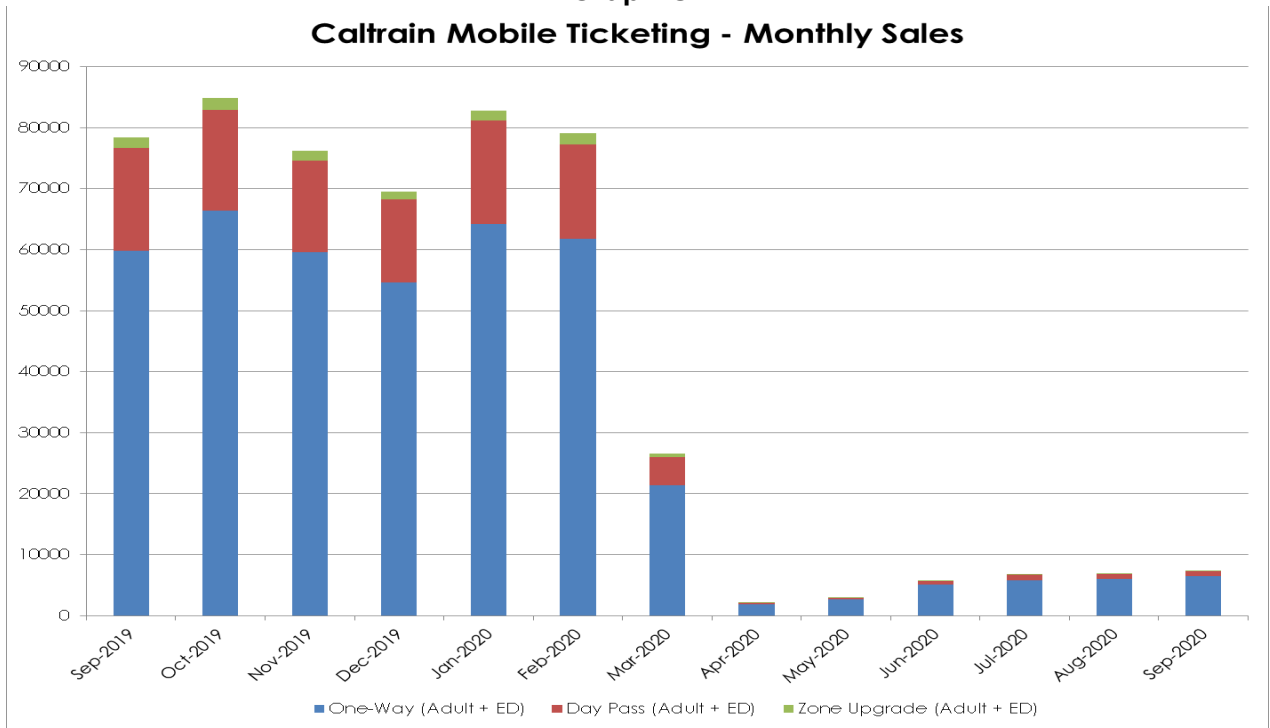


Graph B



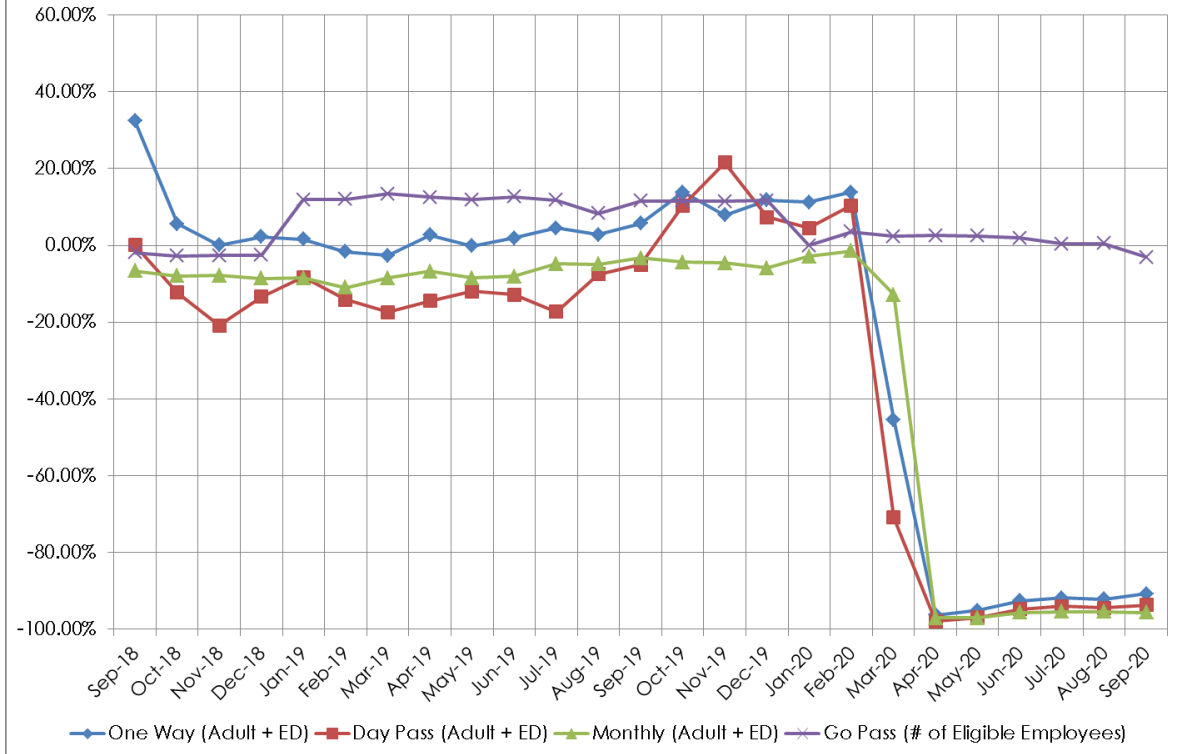
**Go Passes tracked by Monthly Number of Eligible Employees (not by Sales)*

Graph C



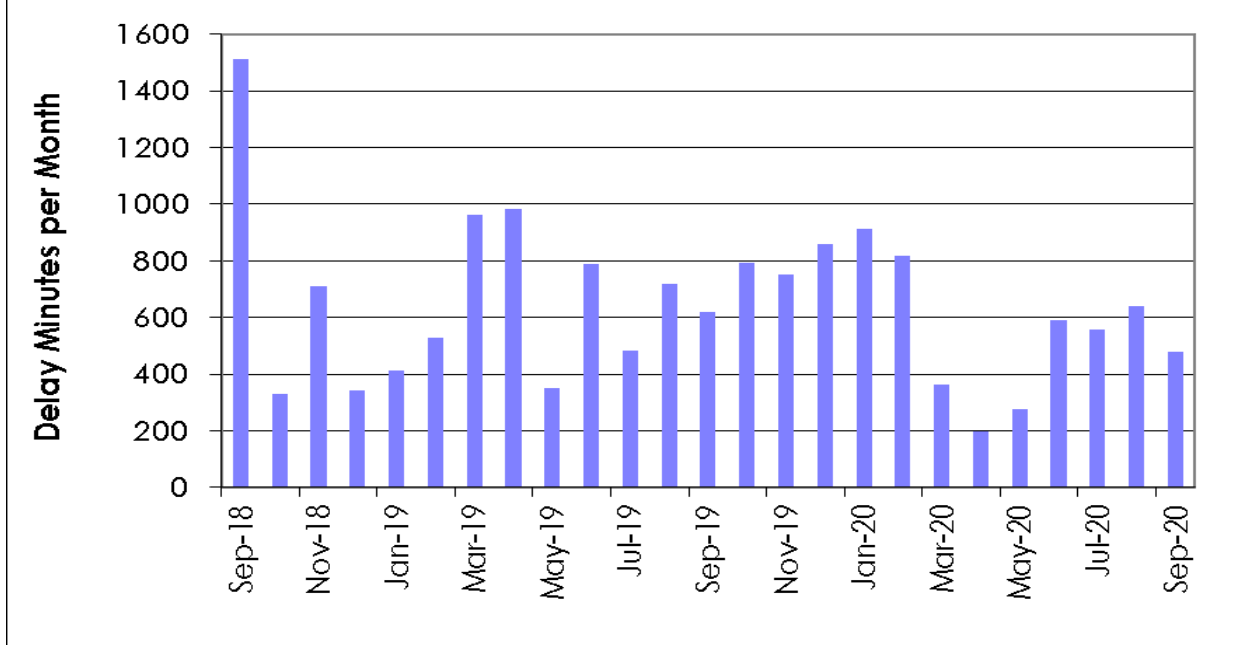
Graph D

**Number of Tickets Sold:
Year to Year (Same Month Last Year) % Change**



Graph E

Monthly Mechanical Delays



Caltrain Promotions – September 2020

Clipper START Pilot Program Outreach – Launched on July 15th, 2020, the Clipper START Program allows adults age 19-64, who are lower-income, to receive the discount on select transit services throughout the region. Clipper START offers eligible Caltrain riders a 50 percent discount, which the agency recently increased from 20% as a result of the economic fallout caused by COVID-19. The regional promotion effort included a news release, e-newsletter, extensive outreach to CBOs and paid digital ads. Digital Communications boosted organic social media messaging across all platforms, updated the website's fare media related pages and posted a large center button on the Caltrain homepage. Additional marketing support included brochures in multiple languages & ad cards onboard the trains and select stations as well as digital display banners at the San Francisco Station. An additional paid communications campaign launched on September 8th targeting Chinese and Spanish markets. This included print ads in News for Chinese and Sing Tao newspaper, KEST radio, TV news segment, news release, e-mail blast, online web display banner ads, and across all News for Chinese and Univision's (Spanish) social media platforms.

Caltrain Digital Metrics - Sept 2020



New Followers

239

Sep 20 - 179,530

Aug 20 - 179,291

Sep 19 - 180,380

Top Tagged Issues

1. RR/Funding (43)
2. Caltrain Compliment (17)
3. COVID (14)
4. Bikes (10)
5. Delays (7)

Caltrain.com Sessions

Sep 20 - 124,112

Aug 20 - 127,492

Sep 19 - 908,100

Social Engagement

Video Views

32,240 (Aug - 16K)

Content Impressions

1,605,968 (Aug - 1.6M)

Interactions

25,633 (Aug - 21K)

Monthly Yelp & FB Rating

(2.75 out of 5)

(0 Sept review)



@caltrain, @gocaltrain



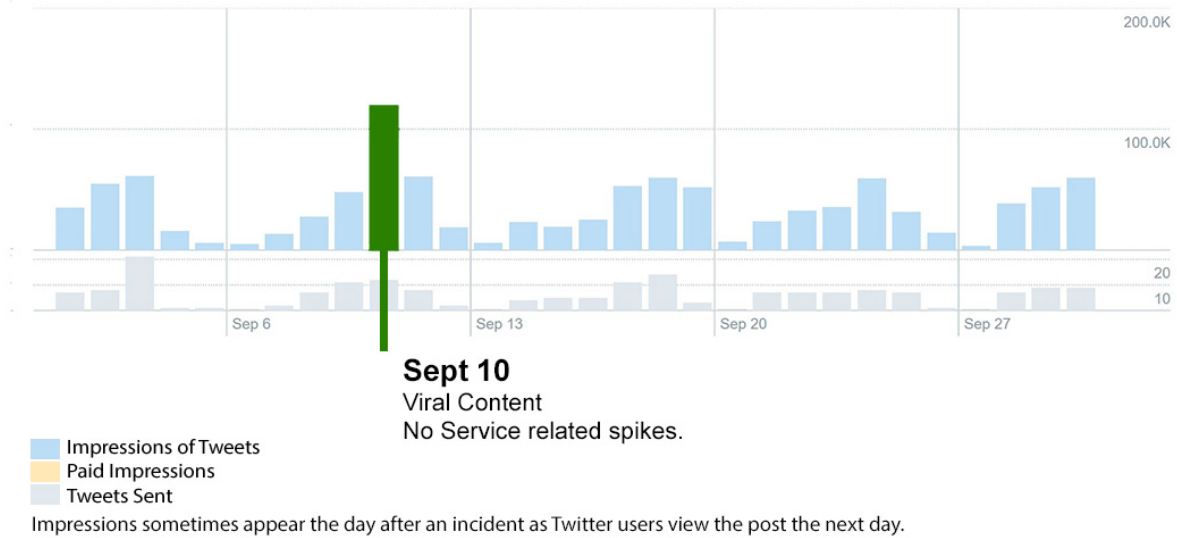
@gocaltrain



@caltrain

Twitter Impression Spikes September, 2020

Your Tweets earned **1.1M impressions** over this **30 day** period



Prepared by:

Patrice Givens, Administrative Analyst II
James Namba, Marketing Specialist
Jeremy Lipps, Social Media Officer

650.508.6347
650.508.7924
650.622.7845

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Dora Seamans
Executive Officer,
District Secretary/Executive Administration

SUBJECT: **2021 FINANCE MEETING CALENDAR**

ACTION

Staff Coordinating Council recommends the Joint Powers Board approve the attached Finance meeting calendar for 2021.

SIGNIFICANCE

The Board of Directors' regular monthly meetings are scheduled for the fourth Mondays of each month at 1:30 pm.

BUDGET IMPACT

There is no impact on the budget.



Draft

JPB Finance Committee Meeting Calendar – 2021

Fourth Monday – 1:30 PM

Monday, January 25

Monday, February 22

Monday, March 22

Monday, April 26

Monday, May 24

Monday, June 28

Monday, July 26

Monday, August 23

Monday, September 27

Monday, October 25

Monday, November 22

*Monday December 20

Board Committee Members: Directors Dev Davis (Chair), Ron Collins, and Monique Zmuda.
Primary Staff Liaison: Derek Hansel

*Regular meetings scheduled for monthly on the 4th Monday at 1:30 pm., unless otherwise noted.

All meetings are held via Zoom or at 1250 San Carlos Avenue, San Carlos, CA, unless scheduled and stated otherwise at

https://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html

**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
SEPTEMBER 30, 2020**

ACTION

Staff proposes that the Board of Directors accept and enter into the record the Statement of Revenues and Expenses for the month of September 2020.

This staff report provides a brief discussion of significant items and trends on the attached Statement of Revenues and Expenses through September 30, 2020. 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 current actuals to the first quarter budget including dollar and percentage variances.

SIGNIFICANCE

Year to Date Revenues: As of September year-to-date actual, the Grand Total Revenue (page 1, line 17) is \$23.7 million higher than the adopted budget. This is primarily driven by CARES ACT Fund (page 1, line 13) and Farebox Revenue (page 1, line 1) which are partially offset with lower than the adopted budget in Rental Income (page 1, line 4) and JPB Member Agencies (page 1, line 12).

Year to Date Expenses: As of September year-to-date actual, the Grand Total Expense (page 1, line 48) is \$15.1 million lower than the adopted budget. This is primarily driven by Rail Operator Service (page 1, line 23), Fuel and Lubricants (Page 1, line 26), Insurance (page 1, line 28), Facilities and Equipment Maintenance (page 1, line 30), and Other Office Expenses and Services (page 1, line 42).

Other Information: The Agency accounts for revenue and expenditures on a modified cash basis (only material revenues and expenses are accrued) in the monthly financial statements. Due to the impact of Covid-19 pandemic, Caltrain adopted a first quarter budget in FY2021 which identified certain annual expenses occurring in the first quarter of FY2021. As such, the variance between the current year actual and the first quarter budget show noticeable variances due to the timing of expenditures.

BUDGET IMPACT

There are no budget amendments for the month of September 2020.

STRATEGIC INITIATIVE

This item does not achieve a strategic initiative.

Prepared By : Thwe Han, Accountant II

650-508-7912

Jennifer Ye, Manager, General Ledger

650-622-7890

PENINSULA CORRIDOR JOINT POWERS BOARD					
STATEMENT OF REVENUE AND EXPENSE					
Fiscal Year 2021					
September 2020					
% OF YEAR ELAPSED				25.0%	
	YEAR TO DATE	JULY-SEPTEMBER			
	CURRENT	APPROVED	\$	%	
	ACTUAL	BUDGET	VARIANCE	VARIANCE	
REVENUE					
OPERATIONS:					
1	Farebox Revenue	8,908,649	8,015,496	893,153 11.1%	1
2	Parking Revenue	107,318	126,782	(19,464) (15.4%)	2
3	Shuttles	354,785	368,000	(13,215) (3.6%)	3
4	Rental Income	242,539	343,026	(100,487) (29.3%)	4
5	Other Income	426,910	382,137	44,773 11.7%	5
6					6
7	TOTAL OPERATING REVENUE	10,040,201	9,235,441	804,760 8.7%	7
8					8
9	CONTRIBUTIONS:				9
10	AB434 Peninsula & TA Shuttle Funding	724,108	431,300	292,808 67.9%	10
11	Operating Grants	1,199,825	1,135,439	64,386 5.7%	11
12	JPB Member Agencies	11,386,621	12,020,136	(633,515) (5.3%)	12
13	CARES ACT Fund	23,132,863	-	23,132,863 100.0%	13
14					14
15	TOTAL CONTRIBUTED REVENUE	36,443,418	13,586,875	22,856,543 168.2%	15
16					16
17	GRAND TOTAL REVENUE	46,483,620	22,822,316	23,661,304 103.7%	17
18					18
19					19
20	EXPENSE				20
21					21
22	OPERATING EXPENSE:				22
23	Rail Operator Service	16,768,370	24,850,000	(8,081,630) (32.5%)	23
24	Security Services	1,403,030	1,705,477	(302,447) (17.7%)	24
25	Shuttle Services	671,156	694,000	(22,844) (3.3%)	25
26	Fuel and Lubricants	1,185,345	1,650,270	(464,925) (28.2%)	26
27	Timetables and Tickets	-	22,500	(22,500) (100.0%)	27
28	Insurance	1,353,254	5,100,000	(3,746,746) (73.5%)	28
29	Claims, Payments, and Reserves	63,588	237,948	(174,360) (73.3%)	29
30	Facilities and Equipment Maintenance	367,249	1,153,630	(786,381) (68.2%)	30
31	Utilities	438,797	673,675	(234,878) (34.9%)	31
32	Maint & Services-Bldg & Other	86,165	430,873	(344,708) (80.0%)	32
33					33
34	TOTAL OPERATING EXPENSE	22,336,955	36,518,373	(14,181,418) (38.8%)	34
35					35
36	ADMINISTRATIVE EXPENSE				36
37	Wages and Benefits	3,161,902	3,296,146	(134,244) (4.1%)	37
38	Managing Agency Admin OH Cost	997,413	1,274,516	(277,103) (21.7%)	38
39	Board of Directors	2,890	11,025	(8,135) (73.8%)	39
40	Professional Services	499,562	644,633	(145,071) (22.5%)	40
41	Communications and Marketing	19,634	75,375	(55,741) (74.0%)	41
42	Other Office Expenses and Services	164,392	573,761	(409,369) (71.3%)	42
43					43
44	TOTAL ADMINISTRATIVE EXPENSE	4,845,792	5,875,456	(1,029,664) (17.5%)	44
45					45
46	Long Term Debt Expense	674,324	595,438	78,886 13.2%	46
47					47
48	GRAND TOTAL EXPENSE	27,857,071	42,989,267	(15,132,196) (35.2%)	48
49					49
50	NET SURPLUS / (DEFICIT)	18,626,549	(20,166,951)	38,793,500 (192.4%)	50
51					51



BOARD OF DIRECTORS 2020

DAVE PINE, CHAIR
 DEVORA "DEV" DAVIS, VICE
 CHAIR
 STEVE HEMINGER
 JENNIE BRUINS
 RON COLLINS
 CINDY CHAVEZ
 SHAMANN WALTON
 CHARLES STONE
 MONIQUE ZMUDA

PENINSULA CORRIDOR JOINT POWERS BOARD

INVESTMENT PORTFOLIO

AS OF SEPTEMBER 30, 2020

JIM HARTNETT
 EXECUTIVE DIRECTOR

TYPE OF SECURITY		MATURITY DATE	INTEREST RATE	PURCHASE PRICE	MARKET RATE
Local Agency Investment Fund (Unrestricted)	*	Liquid Cash	0.685%	36,687	36,687
County Pool (Unrestricted)		Liquid Cash	1.532%	551,171	551,171
Other (Unrestricted)		Liquid Cash	0.050%	66,297,877	66,297,877
Other (Restricted)	**	Liquid Cash	0.050%	14,247,476	14,247,476
				\$ 81,133,211	\$ 81,133,211

Interest Earnings for September 2020 \$ 2,274.88
 Cumulative Earnings FY2021 \$ 9,246.34

* 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.

** 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.

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

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

ACTION

Staff proposes the Committee recommend the Board:

1. Amend the Peninsula Corridor Joint Powers Board (JPB) Statement of Investment Policy to align with current State law, including California Government Code Section 53601. This Investment Policy provides guidelines for the investment of JPB's funds and includes delegations of authority to invest such funds; and
2. Reauthorize the investment of JPB monies in 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 review the Investment Policy and also reauthorize the included delegations of authority on an annual basis at a public meeting. The proposed action will:

- Amend the Investment Policy's limitations for investment instruments to be more consistent with the limitations set forth in *California Government Code Sections 53600 et seq.* for the JPB's current portfolios and to be updated annually by the Executive Director or his designee with advice from the JPB's investment advisers;
- Update authorized investment descriptions to those used in California State Codes;
- Update the authorized investments explicitly listed in the Investment Policy to include bonds, notes, warrants, or other evidences of indebtedness of any local agency within the state; and
- Reauthorize the investment of JPB monies in LAIF.

BUDGET IMPACT

Amendment of the Investment Policy and reauthorization of investment in LAIF will have no impact on the JPB budgets.

BACKGROUND

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

Continued investments through LAIF are consistent with these objectives.

Prepared by: Jayden Sangha, Treasury Manager

650.508.6405

August 5, 1999
Reaffirmed August 3, 2000
Amended August 2, 2001
Reaffirmed September 2002
Amended October 2003

Reaffirmed September 2004
Reaffirmed October 2005
Reaffirmed November 2006
Amended November 2007
Amended December 2008

Reaffirmed December 2009
Amended November 2010
Reaffirmed November 2011
Amended November 2012
Reaffirmed November 2013

Reaffirmed November 2014
Amended August 2016
Amended September 2017
Reaffirmed October 2019

EXHIBIT A

PENINSULA CORRIDOR JOINT POWERS BOARD

STATEMENT OF INVESTMENT POLICY

I. PURPOSE

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

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

II. OBJECTIVE

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

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital, as well as the probable income to be derived. The standard of prudence to be used by investment officials shall be applied in the context of managing an overall portfolio. PCJPB officials shall act in accordance with written procedures and the Investment Policy, and should report deviations from expectations in a timely fashion and take appropriate action to control adverse developments.

The PCJPB's primary objective with respect to its invested funds is to safeguard the principal of the funds. The second objective is to meet the liquidity needs of the PCJPB. The third objective is to achieve a return on its invested funds.

III. BENCHMARKS

Investment performance will be compared to the performance benchmark selected by the PCJPB, which

approximates the PCJPB's portfolio and the specific restrictions on the PCJPB's portfolio in accordance with applicable current legislation by the State of California. The benchmark will be reviewed periodically to ensure it remains appropriate and consistent with the PCJPB's risk and return expectations.

IV. POLICY

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

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

1. **Criteria for Selecting Investments.** Criteria for selecting investments and the order of priority are:
 - a. **Safety.** The safety and risk associated with an investment refer to the potential loss of principal, interest or a combination of these amounts. The PCJPB shall operate only in those investments that are considered safe. Investments in instruments and with institutions permitted under Section 2, 6, and Section 7, are deemed to constitute safe investments within the meaning of this Investment Policy.
 - b. **Liquidity.** An adequate percentage of the portfolio, in the approximate amount of six months' operating expenses, should be maintained in liquid short-term investments which can convert to cash if necessary to meet disbursement requirements. For purposes of this Investment Policy, fixed income securities maturing in one year or more are considered investment term, and fixed income securities maturing in less than one year are considered short-term cash equivalents. All funds available for investment shall be directed to the managers of the PCJPB's investment portfolio.
 - c. **Return on Investment.** The PCJPB's investment portfolio shall be designed with the objective of attaining the safety and liquidity objectives first, and then attaining a market rate of return throughout the budgetary and economic cycles, consistent with the portfolio's benchmark as described in the section entitled "Objective" (see above). This benchmark takes into account the PCJPB's investment risk constraints and the cash flow characteristics of the portfolio.
2. **Diversification.** The PCJPB will focus on diversification and invest in securities consistent with the diversification limits established by this policy and consistent with California Government Code.
3. **Safekeeping and Custody.** All security transactions, including collateral for repurchase

agreements, will be executed on a Delivery versus Pay Basis (DVP). The assets of the PCJPB shall be held in safekeeping by the PCJPB's safekeeping agent, or secured through third party custody and safekeeping procedures. A due bill or other substitutions will not be acceptable.

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

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

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

6. **Allowable Investment Instruments.** The PCJPB also may invest in any investment instrument as authorized by the *California Government Code*, as it may be amended from time to time, and subject to any conditions set forth in the *California Government Code*. This Policy may be more restrictive than *California Government Code* regarding the limitations of certain investment types, as shown in the table in Section 10. These investment instruments include but are not limited to:

- a. United States Treasury notes, bonds, bills, or certificates of indebtedness, or those for which the faith and credit of the United States are pledged for the payment of principal and interest, pursuant to *California Government Code Section 53601(b)*.
- b. Federal agency or United States government-sponsored enterprise obligations, participations, or other instruments, including those issued by or fully guaranteed as to principal and interest by federal agencies or United States government sponsored enterprises, pursuant to *California Government Code Section 53601(f)*.
- c. Bankers' acceptances otherwise known as bills of exchange or time drafts that are drawn on and accepted by a commercial bank. Purchases of bankers' acceptances shall not exceed 180 days' maturity or 40 percent of the agency's moneys that may be invested pursuant to this section. However, no more than 30 percent of the agency's moneys may be invested in the bankers' acceptances of any one commercial bank pursuant to this section. This subdivision does not preclude a municipal utility district from investing moneys in its treasury in a manner authorized by the Municipal Utility District Act (*California Public Utilities Code*

Section 11501, et seq.). Pursuant to *California Government Code Section 53601(g)*.

- d. Commercial paper of “prime” quality of the highest ranking or of the highest letter and number rating as provided for by a nationally recognized statistical rating organization (NRSRO). Eligible commercial paper shall have a maximum maturity of 270 days or less. No more than 40 percent of the agency’s money may be invested in eligible commercial paper. The agency may invest no more than 10 percent of its total investment assets in the commercial paper and medium-term notes of any single issuer pursuant to *California Government Code Section 53601(h)*.
- e. Negotiable certificates of deposit issued by a nationally or state-chartered bank, a savings association or a federal association (as defined by *California Financial Code Section 5102*), a state or federal credit union, or by a federally licensed or state-licensed branch of a foreign bank. Purchases of negotiable certificates of deposit shall not exceed 30 percent of the agency’s moneys that may be invested pursuant to *California Government Code Section 53601(i)*.
- f. Investments in repurchase agreements or reverse repurchase agreements or securities lending agreements as defined in *California Government Code Section 53601(j)*.
- g. Medium-term notes, defined as all corporate and depository institution debt securities with a maximum remaining maturity of five years or less, issued by corporations organized and operating within the United States or by depository institutions licensed by the United States or any state and operating within the United States. Notes eligible for investment under this subdivision shall be rated in a rating category of “A” or its equivalent or better by an NRSRO. Purchases of medium-term notes shall not include other instruments authorized by this section and may not exceed 30 percent of the agency’s moneys that may be invested pursuant to *California Government Code Section 53601(k)*. The agency may invest no more than 10 percent of its total investment assets in the commercial paper and the medium-term notes of any single issuer.
- h. Shares of beneficial interest issued by diversified management companies that invest in the securities and obligations as described by *California Government Code Section 53601(l)*.
- i. Local government investment pools. Shares of beneficial interest issued by a joint powers authority organized pursuant to Section 6509.7 as described by *California Government Code Section 53601(p)*.
- j. A mortgage passthrough security, collateralized mortgage obligation, mortgage-backed or other pay-through bond, equipment lease-backed certificate, consumer receivable passthrough certificate, or consumer receivable-backed bond. Securities eligible for investment under this subdivision shall be rated in a rating category of “AA” or its equivalent or better by an NRSRO and have a maximum remaining maturity of five years or less. Purchase of securities authorized by this subdivision

may not exceed 20 percent of the agency's surplus moneys that may be invested pursuant to this *California Government Code Section 53601(o)*.

- k. Registered state warrants or treasury notes or bonds of this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the state or by a department, board, agency, or authority of the state. Pursuant to *California Government Code 53601(c)*

Registered treasury notes or bonds of any of the other 49 states in addition to California, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by a state or by a department, board, agency, or authority of any of the other 49 states, in addition to California. Pursuant to *California Government Code 53601(d)*.

Bonds, notes, warrants, or other evidences of indebtedness of any local agency within this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the local agency, or by a department, board, agency, or authority of the local agency. Pursuant to *California Government Code 53601(e)*

- l. Supranational obligations including United States dollar denominated senior unsecured unsubordinated obligations issued or unconditionally guaranteed by the International Bank for Reconstruction and Development, International Finance Corporation, or Inter-American Development Bank, with a maximum remaining maturity of five years or less, and eligible for purchase and sale within the United States. Investments under this subdivision shall be rated in a rating category of "AA" or its equivalent or better by an NRSRO and shall not exceed 30 percent of the agency's moneys that may be invested pursuant to *California Government Code Section 53601(q)*.

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

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

8. **Prohibited Investments.** The PCJPB shall not invest any funds in inverse floaters, range notes or mortgage derived interest-only strips. The PCJPB shall not invest any funds in any security that could result in zero interest accrual if held to maturity; however, the PCJPB may hold this prohibited instrument until its maturity date. The limitation does not apply to investments in shares of beneficial interest issued by diversified management companies as set forth in *California Government Code Section 53601.6*.
9. **Portfolio Transactions.** The PCJPB's investment advisors are expected to seek best execution for all portfolio transactions. Best execution relates to the expected realized price net of commissions and is not necessarily synonymous with the lowest commission rate. Investment advisors are to obtain three independent bids from SEC licensed brokerage institutions, licensed by the state as a broker-dealer, as defined in *California Government Code Section 53601.5*, or from a brokerage firm designated as a primary government dealer by the Federal Reserve Bank, prior to the execution of each portfolio transaction. The investment advisors, at their sole discretion and authority, will choose which broker dealers or brokerage firms from which to solicit bids and final selection is to be made based on the best interests of the PCJPB. Investment advisors may incur Realized capital losses in order to minimize the decrease in real purchasing power of the assets over an indefinite period of time.
10. **Summary of Instruments & Limitations.** Subject to the limitations set forth in *California Government Code Sections 53600 et seq.* which may be amended from time to time, the Executive Director or his designee may invest in the following instruments, subject to the limits of flexibility described above and in the table below. Limitations set in this Policy may be more restrictive than required by *California Government Code*:

Instrument	Credit Rating	% of Fund	% of Fund per Issuer	Maximum Maturity
(a) U.S. Treasury Obligations		100	N/A	15 years
(b) Obligations of U.S. Agencies or Government Sponsored Enterprises		100	N/A	15 years
(c) Bankers' Acceptances		40	30	180 days
(d) Commercial Paper	A1/P1/F1	40	10	270 days
Local agencies with less than \$100M of investment assets under management may invest no more than 25% of the agency's money in eligible commercial paper				
(e) Negotiable Certificates of Deposit		30	N/A	5 years
(f) Repurchase Agreements		100	N/A	1 year

Reverse Repurchase Agreements & Securities Lending		20	N/A	92 days
(g) Medium Term Corporate Notes	“A” category (split rated issues not allowed)	30	10	5 years
(h) Shares of beneficial interest issued by diversified management companies		20	10	N/A
(i) Local Government Investment Pools		100	N/A	N/A
(j) Asset-backed and mortgage-backed securities	“AA” category	20	N/A	5 years
(k) Municipal Obligations		100	N/A	10 years
(l) Supranational Obligations	“AA” category	30%	N/A	5 years
Local Agency Investment Fund				Up to current state limit
San Mateo County Investment Fund				Up to current state limit

11. Oversight.

- a. Quarterly, the Executive Director shall submit an investment report to the Board of Directors within 30 days of the end of the quarter. The report shall include the following information:
 1. type of investment, issuer, date of maturity, par and dollar amount invested in all securities, investments and money held by the PCJPB;
 2. description of any of the PCJPB’s funds, investments or programs that are under the management of contracted parties, including lending programs;
 3. for all securities held by the PCJPB or under management by any outside party that is not a local agency or the State of California LAIF, a current market value as of the date of the report and the source of this valuation;
 4. statement that the portfolio complies with the Investment Policy or the manner in which the portfolio is not in compliance; and
 5. statement that the PCJPB has the ability to meet its pool’s expenditure requirements (cash flow) for the next six months or provide an explanation as to why sufficient money shall or may not be available.
- b. Annually, the Executive Director shall perform, or cause to be performed, an independent audit of the PCJPB’s assets as reported for the investment program’s

activities. It is to be conducted in such a way as to determine compliance with the PCJPB's Investment Policy and State Codes. Such independent auditors will express an opinion whether the statement of assets is presented fairly and in accordance with generally accepted accounting principles.

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

August 5, 1999	Reaffirmed September 2004	Reaffirmed December 2009	Reaffirmed November 2014
Reaffirmed August 3, 2000	Reaffirmed October 2005	Amended November 2010	Amended August 2016
Amended August 2, 2001	Reaffirmed November 2006	Reaffirmed November 2011	Amended September 2017
Reaffirmed September 2002	Amended November 2007	Amended November 2012	Reaffirmed October 2019
Amended October 2003	Amended December 2008	Reaffirmed November 2013	

REDLINE VERSION - EXHIBIT A

PENINSULA CORRIDOR JOINT POWERS BOARD

STATEMENT OF INVESTMENT POLICY

I. PURPOSE

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

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

II. OBJECTIVE

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

Investments shall be made with judgment and care, under circumstances then prevailing, which persons of prudence, discretion and intelligence exercise in the management of their own affairs, not for speculation, but for investment, considering the probable safety of their capital, as well as the probable income to be derived. The standard of prudence to be used by investment officials shall be applied in the context of managing an overall portfolio. PCJPB officials shall act in accordance with written procedures and the Investment Policy, and should report deviations from expectations in a timely fashion and take appropriate action to control adverse developments.

The PCJPB's primary objective with respect to its invested funds is to safeguard the principal of the funds. The second objective is to meet the liquidity needs of the PCJPB. The third objective is to achieve a return on its invested funds.

III. BENCHMARKS

Investment performance will be compared to the performance benchmark selected by the PCJPB, which

approximates the PCJPB's portfolio and the specific restrictions on the PCJPB's portfolio in accordance with applicable current legislation by the State of California. ~~The benchmark will be reviewed periodically to ensure it remains appropriate and consistent with the PCJPB's risk and return expectations.~~

Commented [SJ1]: Consistent with CA Govt Code verbiage

IV. POLICY

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

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

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

- a. Safety. The safety and risk associated with an investment refer to the potential loss of principal, interest or a combination of these amounts. The PCJPB shall operate only in those investments that are considered safe. Investments in instruments and with institutions permitted under Section 2, 6, and Section 7, are deemed to constitute safe investments within the meaning of this Investment Policy.
- b. Liquidity. An adequate percentage of the portfolio, in the approximate amount of six months' operating expenses, should be maintained in liquid short-term investments which can convert to cash if necessary to meet disbursement requirements. For purposes of this Investment Policy, fixed income securities maturing in one year or more are considered investment term, and fixed income securities maturing in less than one year are considered short-term cash equivalents. All funds available for investment shall be directed to the managers of the PCJPB's investment portfolio.
- c. Return on Investment. The PCJPB's investment portfolio shall be designed with the objective of attaining the safety and liquidity objectives first, and then attaining a market rate of return throughout the budgetary and economic cycles, consistent with the portfolio's benchmark as described in the section entitled "Objective" (see above). This benchmark takes into account the PCJPB's investment risk constraints and the cash flow characteristics of the portfolio.

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

Commented [SJ2]: Rewording of the old verbiage

focus on diversification and invest in securities consistent with the diversification limits established by this policy and consistent with California Government Code.

3. **Safekeeping and Custody.** All security transactions, including collateral for repurchase agreements, will be executed on a Delivery versus Pay Basis (DVP). The assets of the PCJPB shall be held in safekeeping by the PCJPB's safekeeping agent, or secured through third party custody and safekeeping procedures. A due bill or other substitutions will not be acceptable.
4. **Maturity of Investments.** The specific security guidelines including maximum maturities and qualified Fixed Income instruments can be found in Section 10 "Summary of Instruments & Limitations" of this Investment Policy.

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

5. **Deposit of Funds.** As far as possible, all money belonging to or in the custody of the PCJPB including money paid to the PCJPB to pay the principal, interest or penalties of bonds, shall be deposited for safekeeping in state or national banks, savings associations or federal associations, credit unions or federally insured industrial loan companies in California (as defined by *California Government Code Section 53630*). Pursuant to *California Government Code Sections 53635, 53637 and 53638*, the money shall be deposited in any authorized depository with the objective of realizing maximum return, consistent with prudent financial management.
6. **Allowable Investment Instruments.** The PCJPB also may invest in any investment instrument as authorized by the *California Government Code*, as it may be amended from time to time, and subject to any conditions set forth in the *California Government Code*. This Policy may be more restrictive than California Government Code regarding the limitations of certain investment types, as shown in the table in Section 10. These investment instruments include but are not limited to:
 - a. United States Treasury notes, bonds, bills, or certificates of indebtedness, or those for which the faith and credit of the United States are pledged for the payment of principal and interest, pursuant to *California Government Code Section 53601(b)*.
 - b. Federal agency or United States government-sponsored enterprise obligations, participations, or other instruments, including those issued by or fully guaranteed as to principal and interest by federal agencies or United States government sponsored enterprises, pursuant to *California Government Code Section 53601(f)*.
 - c. Bankers' acceptances otherwise known as bills of exchange or time drafts that are drawn on and accepted by a commercial bank. Purchases of bankers' acceptances shall not exceed 180 days' maturity or 40 percent of the agency's moneys that may be invested pursuant to this section. However, no more than 30 percent of the

Commented [SJ3]: CA govt code as the umbrella this policy falls under

agency's moneys may be invested in the bankers' acceptances of any one commercial bank pursuant to this section. This subdivision does not preclude a municipal utility district from investing moneys in its treasury in a manner authorized by the Municipal Utility District Act (*California Public Utilities Code Section 11501, et seq.*). Pursuant to *California Government Code Section 53601(g)*.

- d. Commercial paper of "prime" quality of the highest ranking or of the highest letter and number rating as provided for by a nationally recognized statistical rating organization (NRSRO). Eligible commercial paper shall have a maximum maturity of 270 days or less. No more than 40 percent of the agency's money may be invested in eligible commercial paper. The agency may invest no more than 10 percent of its total investment assets in the commercial paper and medium-term notes of any single issuer pursuant to *California Government Code Section 53601(h)*.
- e. Negotiable certificates of deposit issued by a nationally or state-chartered bank, a savings association or a federal association (as defined by *California Financial Code Section 5102*), a state or federal credit union, or by a federally licensed or state-licensed branch of a foreign bank. Purchases of negotiable certificates of deposit shall not exceed 30 percent of the agency's moneys that may be invested pursuant to *California Government Code Section 53601(i)*.
- f. Investments in repurchase agreements or reverse repurchase agreements or securities lending agreements as defined in *California Government Code Section 53601(j)*.
- g. Medium-term notes, defined as all corporate and depository institution debt securities with a maximum remaining maturity of five years or less, issued by corporations organized and operating within the United States or by depository institutions licensed by the United States or any state and operating within the United States. Notes eligible for investment under this subdivision shall be rated in a rating category of "A" or its equivalent or better by an NRSRO. Purchases of medium-term notes shall not include other instruments authorized by this section and may not exceed 30 percent of the agency's moneys that may be invested pursuant to *California Government Code Section 53601(k)*. The agency may invest no more than 10 percent of its total investment assets in the commercial paper and the medium-term notes of any single issuer.
- h. Shares of beneficial interest issued by diversified management companies that invest in the securities and obligations as described by *California Government Code Section 53601(l)*.

i. Local government investment pools. Shares of beneficial interest issued by a joint powers authority organized pursuant to Section 6509.7 as described by *California Government Code Section 53601(p)*.

i-j. A mortgage passthrough security, collateralized mortgage obligation, mortgage-backed or other pay-through bond, equipment lease-backed certificate, consumer

Commented [SJ4]: Consistent with CA Govt code verbiage for Commercial Paper

Commented [SJ5]: Consistency with the allowable investments table below

receivable passthrough certificate, or consumer receivable-backed bond. Securities eligible for investment under this subdivision shall be rated in a rating category of “AA” or its equivalent or better by an NRSRO and have a maximum remaining maturity of five years or less. Purchase of securities authorized by this subdivision may not exceed 20 percent of the agency’s surplus moneys that may be invested pursuant to this *California Government Code Section 53601(o)*.

k. ~~Registered state warrants or treasury notes or bonds of this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the state or by a department, board, agency, or authority of the state. Pursuant to *California Government Code 53601(e)*.~~

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Registered treasury notes or bonds of any of the other 49 states in addition to California, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by a state or by a department, board, agency, or authority of any of the other 49 states, in addition to California. Pursuant to *California Government Code 53601(d)*.

Commented [SJ6]: Reflects the new verbiage of CA Govt code regarding the municipal debt obligations.

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Bonds, notes, warrants, or other evidences of indebtedness of any local agency within this state, including bonds payable solely out of the revenues from a revenue-producing property owned, controlled, or operated by the local agency, or by a department, board, agency, or authority of the local agency. Pursuant to *California Government Code 53601(e)*

l. ~~Supranational obligations including United States dollar denominated senior unsecured unsubordinated obligations issued or unconditionally guaranteed by the International Bank for Reconstruction and Development, International Finance Corporation, or Inter-American Development Bank, with a maximum remaining maturity of five years or less, and eligible for purchase and sale within the United States. Investments under this subdivision shall be rated in a rating category of “AA” or its equivalent or better by an NRSRO and shall not exceed 30 percent of the agency’s moneys that may be invested pursuant to *California Government Code Section 53601(q)*.~~

Commented [SJ7]: New Section reflecting the addition of Supra in CA govt code – debt obligation issued by International Development institution like International bank for reconstruction and develop – Rated AA or above

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

7. **Local Agency Investment Fund & San Mateo County Investment Pool.** The Board of Directors also authorizes the PCJPB to invest in the Local Agency Investment Fund (LAIF) pursuant to *California Government Code Section 16429.1* and in the San Mateo County Investment Fund (SMCIF).
8. **Prohibited Investments.** The PCJPB shall not invest any funds in inverse floaters, range notes or mortgage derived interest-only strips. The PCJPB shall not invest any funds in any security that could result in zero interest accrual if held to maturity; however, the PCJPB may hold this prohibited instrument until its maturity date. The limitation does not apply to investments in shares of beneficial interest issued by diversified management companies as set forth in *California Government Code Section 53601.6*.
9. **Portfolio Transactions.** The PCJPB's investment advisors are expected to seek best execution for all portfolio transactions. Best execution relates to the expected realized price net of commissions and is not necessarily synonymous with the lowest commission rate. Investment advisors are to obtain three independent bids from SEC licensed brokerage institutions, licensed by the state as a broker-dealer, as defined in *California Government Code Section 53601.5*, or from a brokerage firm designated as a primary government dealer by the Federal Reserve Bank, prior to the execution of each portfolio transaction. The investment advisors, at their sole discretion and authority, will choose which broker dealers or brokerage firms from which to solicit bids and final selection is to be made based on the best interests of the PCJPB. Investment advisors may incur Realized capital losses in order to minimize the decrease in real purchasing power of the assets over an indefinite period of time.
10. **Summary of Instruments & Limitations.** Subject to the limitations set forth in *California Government Code Sections 53600 et seq.* which may be amended from time to time, the Executive Director or his designee may invest in the following instruments, subject to the limits of flexibility described above and in the table below. Limitations set in this Policy may be more restrictive than required by *California Government Code*:

<u>Instrument</u>	<u>Credit Rating</u>	<u>% of Fund</u>	<u>% of Fund per Issuer</u>	<u>Maximum Maturity</u>
<u>(a) U.S. Treasury Obligations</u>		<u>100</u>	<u>N/A</u>	<u>15 years</u>
<u>(b) Obligations of U.S. Agencies or Government Sponsored Enterprises</u>		<u>100</u>	<u>N/A</u>	<u>15 years</u>
<u>(c) Bankers' Acceptances</u>		<u>40</u>	<u>30</u>	<u>180 days</u>
<u>(d) Commercial Paper</u>	<u>A1/P1/F1</u>	<u>40</u>	<u>10</u>	<u>270 days</u>
<u>Local agencies with less than \$100M of investment assets under management may invest no more than 25% of the agency's money in eligible commercial</u>				

Commented [SJ8]: New Allowable investment table reflects the addition of Supranational instruments And, Change to "Maximum allowable Limits" to have our Investment policy be as broad as the CA govt code.

paper

<u>(e) Negotiable Certificates of Deposit</u>		<u>30</u>	<u>N/A</u>	<u>5 years</u>
<u>(f) Repurchase Agreements</u>		<u>100</u>	<u>N/A</u>	<u>1 year</u>
<u>Reverse Repurchase Agreements & Securities Lending</u>		<u>20</u>	<u>N/A</u>	<u>92 days</u>
<u>(g) Medium Term Corporate Notes</u>	<u>“A” category (split rated issues not allowed)</u>	<u>30</u>	<u>10</u>	<u>5 years</u>
<u>(h) Shares of beneficial interest issued by diversified management companies</u>		<u>20</u>	<u>10</u>	<u>N/A</u>
<u>(i) Local Government Investment Pools</u>		<u>100</u>	<u>N/A</u>	<u>N/A</u>
<u>(j) Asset-backed and mortgage-backed securities</u>	<u>“AA” category</u>	<u>20</u>	<u>N/A</u>	<u>5 years</u>
<u>(k) Municipal Obligations</u>		<u>100</u>	<u>N/A</u>	<u>10 years</u>
<u>(l) Supranational Obligations</u>	<u>“AA” category</u>	<u>30%</u>	<u>N/A</u>	<u>5 years</u>
<u>Local Agency Investment Fund</u>			<u>Up to current state limit</u>	
<u>San Mateo County Investment Fund</u>			<u>Up to current state limit</u>	

<u>Instrument</u>		<u>Limitations</u>		
	<u>Rating</u>	<u>% of Fund</u>	<u>% of Fund Per Issuer</u>	<u>Maturity</u>
<u>(a)</u>	<u>U.S. Treasury Obligations</u>	<u>100</u>	<u>100</u>	<u>15 years</u>
<u>(b)</u>	<u>Obligations of U.S. Agencies or Government Sponsored Enterprises</u>	<u>100</u>	<u>100</u>	<u>15 years</u>
<u>(c)</u>	<u>Bankers Acceptances</u>			
	<u>Domestic (\$500 million minimum assets)</u>	<u>15</u>	<u>5</u>	<u>180 days</u>
	<u>Foreign (\$500 million minimum assets)</u>	<u>15</u>	<u>5</u>	<u>180 days</u>
<u>(d)</u>	<u>Commercial Paper</u>			
	<u>(\$500 million minimum assets)</u>	<u>A1/P1/F1</u>	<u>15</u>	<u>10</u>
	<u>*Additional 10% (for a total of 25%) if the dollar weighted average maturity</u>	<u>Additional</u>	<u>10</u>	<u>10</u>
				<u>270 days</u>
				<u>31 days*</u>

<u>Instrument</u>	<u>Rating</u>	<u>Limitations</u>		
		<u>% of Fund</u>	<u>% of Fund Per Issuer</u>	<u>Maturity</u>
of the entire amount does not exceed 31 days				
(e) Negotiable Certificates of Deposit		10	5	5 years
(f) Repurchase Agreements Secured by U.S. Treasury or Agency Obligation Max 5 yr. maturity (102% collateral)		100	50	1 year
Reverse Repurchase Agreements & Security Lending		20	20	92 days
(g) Medium Term Notes	A	30	10	5 years
(h) Shares of beneficial interest issued by diversified management companies		10	5	30 days
(i) A mortgage pass-through security No Inverse Floaters No Range Notes No Interest Only Strips Derived from a Pool of Mortgages	AA	20	5	5 years
(j) Bonds, notes, warrants, or other evidences of indebtedness of any local agency within California		50	50	10 years
Local Agency Investment Fund (LAIF)				Up to the current limit
San Mateo County Investment Fund				Up to the current limit

11. Oversight.

- a. Quarterly, the Executive Director shall submit an investment report to the Board of Directors within 30 days of the end of the quarter. The report shall include the following information:
 1. type of investment, issuer, date of maturity, par and dollar amount invested in all securities, investments and money held by the PCJPB;
 2. description of any of the PCJPB's funds, investments or programs that are under the management of contracted parties, including lending programs;
 3. for all securities held by the PCJPB or under management by any outside party that is not a local agency or the State of California LAIF, a current

market value as of the date of the report and the source of this valuation;

4. statement that the portfolio complies with the Investment Policy or the manner in which the portfolio is not in compliance; and
 5. statement that the PCJPB has the ability to meet its pool's expenditure requirements (cash flow) for the next six months or provide an explanation as to why sufficient money shall or may not be available.
- b. Annually, the Executive Director shall perform, or cause to be performed, an independent audit of the PCJPB's assets as reported for the investment program's activities. It is to be conducted in such a way as to determine compliance with the PCJPB's Investment Policy and State Codes. Such independent auditors will express an opinion whether the statement of assets is presented fairly and in accordance with generally accepted accounting principles.
- c. If the PCJPB places all of its investments in the LAIF, FDIC-insured accounts in a bank or savings and loan association, or the SMCIF (or any combination of these three), the Executive Director can simply submit, on at least a quarterly basis, the most recent statements from these institutions to meet the requirements of items 1-3 above, with a supplemental report addressing items 4 and 5 above. (*California Government Code Section 53646(b)-(e)*).

RESOLUTION NO. 2020 –

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

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

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

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

NOW THEREFORE, BE IT RESOLVED the Board of Directors of the Peninsula Corridor Joint Powers Board does hereby reauthorize 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 5th day of November, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers
Board

ATTEST:

JPB Secretary

RESOLUTION NO. 2020 –

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

* * *

**AMENDING THE STATEMENT OF INVESTMENT POLICY
FOR THE PENINSULA CORRIDOR JOINT POWERS BOARD**

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

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

WHEREAS, the JPB has amended or reaffirmed its Statement of Investment Policy over the years, most recently in October 2019, to align with descriptions of investments contained in the California state codes and to more clearly reflect the JPB's strategy for the investment of its funds; and

WHEREAS, in presenting the Statement of Investment Policy to the Board of Directors for this year, staff recommends amending the Statement of Investment Policy to align with State law, including California Government Code Section 53601; and

WHEREAS, staff further recommends reappointment of the Executive Director, or his designee, as trustee for purposes of placing investments pursuant to the aforementioned policy.

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

Regularly passed and adopted this 5th day of November, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers
Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Board of Directors

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

Michelle Bouchard
Chief Operations Officer, Rail

SUBJECT: **AWARD OF CONTRACT FOR BROADWAY BURLINGAME GRADE SEPARATION
PROJECT FINAL DESIGN SERVICES**

ACTION

Staff Coordinating Council recommends the Board:

1. Award a contract to Mark Thomas and Company, Inc. of San Jose, California (MTCI) to provide final design services (Services) for the Broadway Burlingame Grade Separation Project (Project) for a not-to-exceed amount of \$13,775,255 for a two and a half-year base term at the negotiated cost plus fixed fee specified in the proposal.
2. Authorize the Executive Director, or his designee, to execute a contract with MTCI in full conformity with the terms and conditions of the solicitation documents and negotiated agreement, and in a form approved by legal counsel.
3. Authorize the Executive Director, or his designee, to exercise up to four additional one-year option terms for additional services with MTCI for a not-to-exceed amount up to \$6,685,526, if deemed in the best interest of the Peninsula Corridor Joint Powers Board (JPB).

SIGNIFICANCE

The existing Broadway at-grade crossing is currently the highest-ranked crossing on the California Public Utilities Commission's Grade Separation Priority List. The Project will separate the tracks from the road at Broadway in Burlingame. This will improve safety for motorists, pedestrians, bicyclists and railroad operations, as well as reduce local traffic congestion in Burlingame. The Project will also construct a new elevated Broadway Station with new amenities and eliminate the current hold-out rule under which only one train is allowed at the station at a time.

Approval of the above actions will provide the JPB with a qualified firm to complete the final design, including plans, specifications, and estimates for the Project. In addition, it

authorizes the Executive Director, or his designee, to exercise up to four additional one-year option terms for additional services, if deemed in the best interest of the JPB.

Base Contract and Options	Services and Tasks	Not-To-Exceed Amounts
Base Contract	Final Design	\$13,775,255
Option	Preliminary Engineering Report of 35% Phase	\$508,904
Option	Design Support During the Right of Way Phase	\$1,125,813
Option	Design Support During Construction Bid Process	\$551,267
Option	Design Support During Construction	\$4,499,542
	Sub-Total Options	\$6,685,526
	Total Base Contract with all Options	\$20,460,781

BUDGET IMPACT

The Project has Board approved budget of \$24,388,000 with funding from the San Mateo County Transportation Authority and the City of Burlingame.

BACKGROUND

Under a JPB On-Call General Engineering Consultant contract, the preliminary 35 percent design services for the Project was completed by HDR Engineering, Inc.

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

1. AECOM Technical Services, Inc., Oakland
2. HDR Engineering, Inc., Walnut Creek
3. Mark Thomas and Company, Inc., San Jose
4. WSP USA, Inc., San Francisco

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

- Company Qualifications, Experience & References 10 points
- Key Personnel Qualifications, Experience & Organization 25 points
- Understanding the Required Scope of Work 40 points
- Project Management Plan 15 points
- Quality Management Plan 10 points
- Small Business Enterprise (SBE) Preference 05 points

After initial scoring of the technical proposals, all firms were found to be in the competitive range and were invited to interviews. Subsequently, the Committee

completed its final evaluation and consensus ranking. The Committee determined MTCI to be the highest-ranked firm. The firm possesses the requisite experience and qualifications required for successful performance of the Services, as further defined in the solicitation documents. MTCI and its key subconsultants have experience with grade separation projects throughout California including: 1) Harney Lane, Lodi; 2) McKinley Street, Corona; and 3) Placentia Avenue, Placentia.

Staff conducted a cost analysis for the base contract and option terms, successfully negotiated the price with MTCI, and determined the prices to be fair, reasonable, and consistent with those paid by other public agencies in the Bay Area for similar services.

The Office of Civil Rights assessed SBE preference submissions from all four firms. MTCI committed to utilizing 41.84% SBE participation of the required Services. MTCI received 5 points out of the 5 preference points in accordance with its level of SBE utilization.

Staff will provide Project updates to the Board at future meetings and present Project construction contracts for approval following the requisite competitive processes.

Procurement Administrator III: Quoc Truong
Project Manager: Joy Sharma

650.508.7732
650.508.6410

RESOLUTION NO. 2020-

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

* * *

**AWARDING A CONTRACT TO MARK THOMAS AND COMPANY, INC. FOR
BROADWAY, BURLINGAME GRADE SEPARATION PROJECT FINAL DESIGN SERVICES FOR A
TOTAL NOT-TO-EXCEED AMOUNT OF \$13,775,255 FOR A TWO AND A HALF-YEAR TERM**

WHEREAS, the Peninsula Corridor Joint Powers Board (JPB) issued a Request for Proposals (RFP) for Broadway, Burlingame Grade Separation Project (Project) Final Design services; and

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

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

WHEREAS, the Committee completed its evaluation process, including interviews, and determined that Mark Thomas and Company, Inc. (MTCI) of San Jose, California was the highest-ranked proposer and possesses the necessary qualifications and requisite experience to successfully perform the scope of services defined in the solicitation documents; and

WHEREAS, staff conducted a cost analysis for the base contract and optional services and completed cost negotiations with MTCI, which has agreed to perform the specified services at fair and reasonable prices; and

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

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors awards a contract to MTCI for Broadway,

Burlingame Grade Separation Project Final Design services for a total not-to-exceed amount of \$13,775,255 for a two and a half-year term; and

WHEREAS, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board of Directors authorizes the Executive Director, or his designee, to exercise up to four additional one-year option terms for additional services with MTCI for a not-to-exceed amount up to \$6,685,526.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby awards a contract for Broadway, Burlingame Grade Separation Project Final Design services to Mark Thomas and Company, Inc. of San Jose, California for a total not-to-exceed amount of \$13,775,255 for a two and a half-year term; and

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

BE IT FURTHER RESOLVED the Board authorizes the Executive Director, or his designee, to exercise up to four additional one-year option terms for additional services with MTCI for a not-to-exceed amount up to \$6,685,526 if deemed in the best interest of the Peninsula Corridor Joint Powers Board.

Regularly passed and adopted this 5th day of November, 2020 by the following
vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**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 TWO CHANGE ORDERS FOR A TOTAL NOT-TO-EXCEED AMOUNT OF \$412,000 FOR THE CONTRACT WITH PROVEN MANAGEMENT, INC. FOR CEMOF MODIFICATIONS REQUIRED FOR THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT**

ACTION

Staff Coordinating Council recommends the Board authorize the Executive Director, or his designee, to execute the following change orders for the contract (Contract) with ProVen Management, Inc. (PMI) for modifications to the Central Equipment Maintenance and Operations Facility (CEMOF) as required for the Peninsula Corridor Electrification Project (PCEP) to include:

1. Protection of an existing fire sprinkler water line that is in conflict with the north extension of the inspection pit at the CEMOF, for a total lump sum of \$162,000, and
2. Relocation of an existing boosted water line that is in conflict with the south extension of the inspection pit at CEMOF, for a not-to-exceed total of \$250,000.

SIGNIFICANCE

The Peninsula Corridor Joint Powers Board (JPB) awarded the Contract for modifications and improvements at CEMOF to accommodate electrification of the Caltrain system and vehicle fleet. The Contract scope of work consists of furnishing all labor, equipment and materials required for civil construction modifications, including extension of the north and south ends of the maintenance track 5 inspection pit to facilitate inspection and maintenance of the electric trainsets.

Prior to construction of the inspection pit extensions at CEMOF, PMI verified the location of on-site utilities and discovered that an existing fire sprinkler water line and an existing boosted water line were not located as shown on the Contract documents. The fire sprinkler water line was in conflict with the foundation that PMI was to construct at the north end extension of the inspection pit and the existing boosted water line was in conflict with the wall that PMI was to construct at the south end extension of the pit.

The change order for protection of the fire sprinkler water line will address the conflict at the north end extension of the inspection pit. The change order for relocation of the boosted water line will remove the conflict at the south end extension of the inspection pit. Completion of the change order work will enable PMI to complete the north and south end extensions of the inspection pit.

Staff will request approval for the change orders from the PCEP Change Management Board (CMB) at the CMB meeting on October 21.

BUDGET IMPACT

The Contract change orders 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 JPB awarded the Contract to PMI in February 2019 for a total lump sum amount of \$6,550,777.

The Board has authorized the Executive Director to enter into change orders of up to 10 percent of the Contract amount. 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: Liria Larano, Deputy Chief Officer, CalMod Program

650.622.7828

RESOLUTION NO. 2020 –

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

*** * ***

**AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE TWO CHANGE ORDERS TO THE
CEMOF MODIFICATIONS PROJECT CONTRACT WITH PROVEN MANAGEMENT, INC. FOR A
TOTAL NOT-TO-EXCEED AMOUNT OF \$412,000**

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 Peninsula Corridor Joint Powers Board's (JPB) Centralized Equipment Maintenance and Operations Facility (CEMOF) must be modified and improved to accommodate the new electrified Caltrain system, including by extending the north and south ends of the maintenance track 5 inspection pit to facilitate inspection and maintenance of the electric trainsets; and

WHEREAS, on February 7, 2019, the JPB Board of Directors (Board), by means of Resolution No. 2019-02, awarded a contract to ProVen Management, Inc. (PMI) for the CEMOF Modification Project for PCEP (Contract); and

WHEREAS, prior to construction of the inspection pit extensions, PMI verified the location of on-site utilities and discovered that an existing fire sprinkler water line was not located as shown in the Contract documents, but was in conflict with the foundation PMI was to construct at the north end extension of the inspection pit; and

WHEREAS, PMI also discovered that an existing boosted water line was not located as shown in the Contract documents, but was in conflict with the wall PMI was to construct at the south end extension of the inspection pit; and

WHEREAS, a change order in the total lump sum amount of \$162,000 will address the conflict at the north end extension, and a change order in an amount not to exceed \$250,000 will remove the conflict at the south end extension of the inspection pit; and

WHEREAS, completion of the change order work will enable PMI to compete the north and south end extensions of the inspection pit; and

WHEREAS, with approval from the PCEP Change Management Board, Staff Coordinating Council recommends, and the Executive Director concurs, that the Board authorize execution of the two Contract change orders described above in a total amount not to exceed \$412,000.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board authorizes the Executive Director to execute two change orders, in a total not-to-exceed amount of \$412,000, to the contract with ProVen Management, Inc. (PMI) for the CEMOF Modification Project as required to modify CEMOF's maintenance track 5 inspection pit for the Peninsula Corridor Electrification Project.

Regularly passed and adopted this 5th day of November, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers
Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Victoria O'Brien
Deputy Director Safety and Security

SUBJECT: **AMENDMENT OF PUBLIC SAFETY COMMUNICATIONS SERVICES AGREEMENT**

ACTION

Staff Coordinating Council (SCC) recommends the Board:

1. Approve an amendment to the Public Safety Communications Services Agreement (Agreement) with the County of San Mateo (County) to continue the provision of 911 dispatching services through FY25 for an estimated amount of \$930,555 over the five year extension.
2. Authorize the Executive Director, or his designee, to execute the amendment in a form approved by legal counsel.
3. Authorize the Executive Director, or his designee, to exercise up to one additional five-year option term, provided it is in the best interest of the JPB, for an estimated amount of \$1,132,161.

SIGNIFICANCE

Board approval is sought to amend the existing Agreement for 911 dispatching services with the County of San Mateo through its Public Safety Communications Department. The amendment will allow uninterrupted 911 dispatching services for the Peninsula Corridor Joint Powers Board (JPB) and San Mateo County Transit District (District). These dispatch services support and complement the transit law enforcement services that are provided by the San Mateo County Sheriff pursuant to a five-year contract awarded by the Board several months ago following a competitive procurement process.

Staff has negotiated the dispatching services amendment extension to run through June 30, 2025, a term that is congruent with the transit law enforcement services contract with San Mateo County. The estimated cost of the dispatching services contract is \$220,264 for Fiscal Year (FY)2021 and this cost will be shared in the manner described below. The extended Agreement will have a 4% annual cost increase cap with an option to continue services beyond FY25 for an additional five years.

BUDGET IMPACT

The amendment's five year extension is valued at \$1,193,019.00. The cost of the services in FY2021 is \$220,264 shared between the JPB and the District. The JPB share of this FY2021 total is \$171,806. The District share is \$48,458. The costs for the services are depicted in the following table:

	FY2020-21	FY2021-22	FY2022-23	FY2023-24	FY2024-25
ANNUAL FEE	\$220,264	\$229,074	\$238,237	\$247,767	\$257,677
QUARTERLY	\$55,066	\$57,269	\$59,559	\$61,942	\$64,419

BACKGROUND

The County of San Mateo Public Safety Communications Department has been providing 911 dispatching services for SamTrans bus operations and Caltrain rail operations since 2015. With approval of the proposed amendment, the Agreement's term, which commenced on July 1, 2017, will continue until June 30, 2025. The County of San Mateo Public Safety Communications Department will provide emergency telephone answering; personnel, and equipment dispatching; digital paging; and associated statistical and management reports on a seven-day, 24-hour basis. Services will be provided through the County's existing Public Safety Communications Dispatch Center.

The proposed amendment is the result of negotiations between Staff and the County of San Mateo Public Safety Communications Department.

Prepared By: Victoria O'Brien
Project Manager: Victoria O'Brien

650.622.8045

RESOLUTION NO. 2020 –

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

**AMENDING THE PUBLIC SAFETY COMMUNICATIONS SERVICES AGREEMENT WITH THE
COUNTY OF SAN MATEO TO EXTEND THE AGREEMENT FOR AN ADDITIONAL FIVE-YEAR
PERIOD FOR AN ESTIMATED AMOUNT OF \$930,555**

WHEREAS, the County of San Mateo through its Public Safety Communications Department (County) has provided 911 dispatch services for SamTrans bus operations for the San Mateo County Transit District (District) and Caltrain rail operations for the Peninsula Corridor Joint Power Board (JPB) since 2015; and

WHEREAS, pursuant to Resolution No. 2018-7, the County, the District and the JPB entered into a new agreement for 911 dispatch services (Agreement) for the period commencing on July 1, 2017 through June 30, 2020; and

WHEREAS, the costs of the services were allocated between the Agencies, with the JPB paying 78 percent and the District paying 22 percent of the total costs; and

WHEREAS, these dispatch services support and complement the transit law enforcement services that are provided by the San Mateo County Sheriff pursuant to a five-year contract awarded by the Board several months ago following a competitive procurement process; and

WHEREAS, the Executive Director recommends and the Staff Coordinating Council concurs, that the Board of Directors approve an amendment to the Agreement to extend the services for a five-year period, which will run concurrently with the term of the transit law enforcement services contract with the San Mateo County Sheriff, at an estimated cost of \$930,555 (total value of the amendment is \$1,193,019) for the JPB for the five-year extension.

NOW, THEREFORE, BE IT RESOLVED that the Peninsula Corridor Joint Powers Board hereby approves an amendment to the Public Safety Communications Services Agreement with the County of San Mateo to continue the provision of 911 dispatching services through FY25 for an estimated amount of \$930,555 (total value of the amendment is \$1,193,019) over the five-year extension; and

BE IT FURTHER RESOLVED, that the Executive Director, or his designee, is authorized to execute the amendment in a form approved by legal counsel; and

BE IT FURTHER RESOLVED that the Executive Director, or his designee, is authorized to exercise up to one additional five-year option term, provided it is in the best interest of the JPB, for an estimated amount of \$1,132,161.

Regularly passed and adopted this 5th day of November, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Derek Hansel
Chief Financial Officer

SUBJECT: **FUEL HEDGING UPDATE**

ACTION

Staff proposes the Board to review, accept, and enter into the record the presentation providing an update on the implementation of a fuel hedging strategy for Caltrain.

SIGNIFICANCE

The purpose of this presentation is to provide an update on the implementation and performance status of the Fuel Hedging Program (Program) established for Caltrain.

Under this program, the staff will continue to work with Linwood Capital, LLC in order to:

- Accumulate new fuel hedge contracts for the upcoming fiscal year as market conditions allow
- Maintain the size of the hedge in order to protect Caltrain's fuels budget against adverse price movements in the diesel fuel market

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

The Program implemented for Caltrain is designed to minimize large budget variances resulting from the volatility of diesel fuel prices. An effective hedging strategy can increase budget certainty and facilitate more effective utilization of budgetary resources. The purpose of the Program is not to speculate on the price of fuel but to manage risk, particularly as that relates to Caltrain's annual budget.

- As of October 8th, the hedge program realized gains of \$41,865.60 for the time period June, 2020 through October, 2020
- Additionally the hedge reflects unrealized gains of \$21,978.60 (+0.0149/gallon) on existing contracts through June 2021
- Approximately 35% of the anticipated fuel usage through June 2021 is hedged at an average price of \$1.23/gallon, excluding taxes and fees (versus a budget estimate of \$1.30/gallon, excluding taxes and fees) (based on a 70 train/day schedule)

Prepared by: Jayden Sangha, Treasury Manager

650-508-6405

Fuel Hedging Update for Peninsula Corridor Joint Powers Board

Linwood Capital, LLC

4316 Eton Place

Edina, Minnesota 55424

Telephone: 612.333.1673

E-mail: jeff@linwoodcapital.com

Website: www.linwoodcapital.com

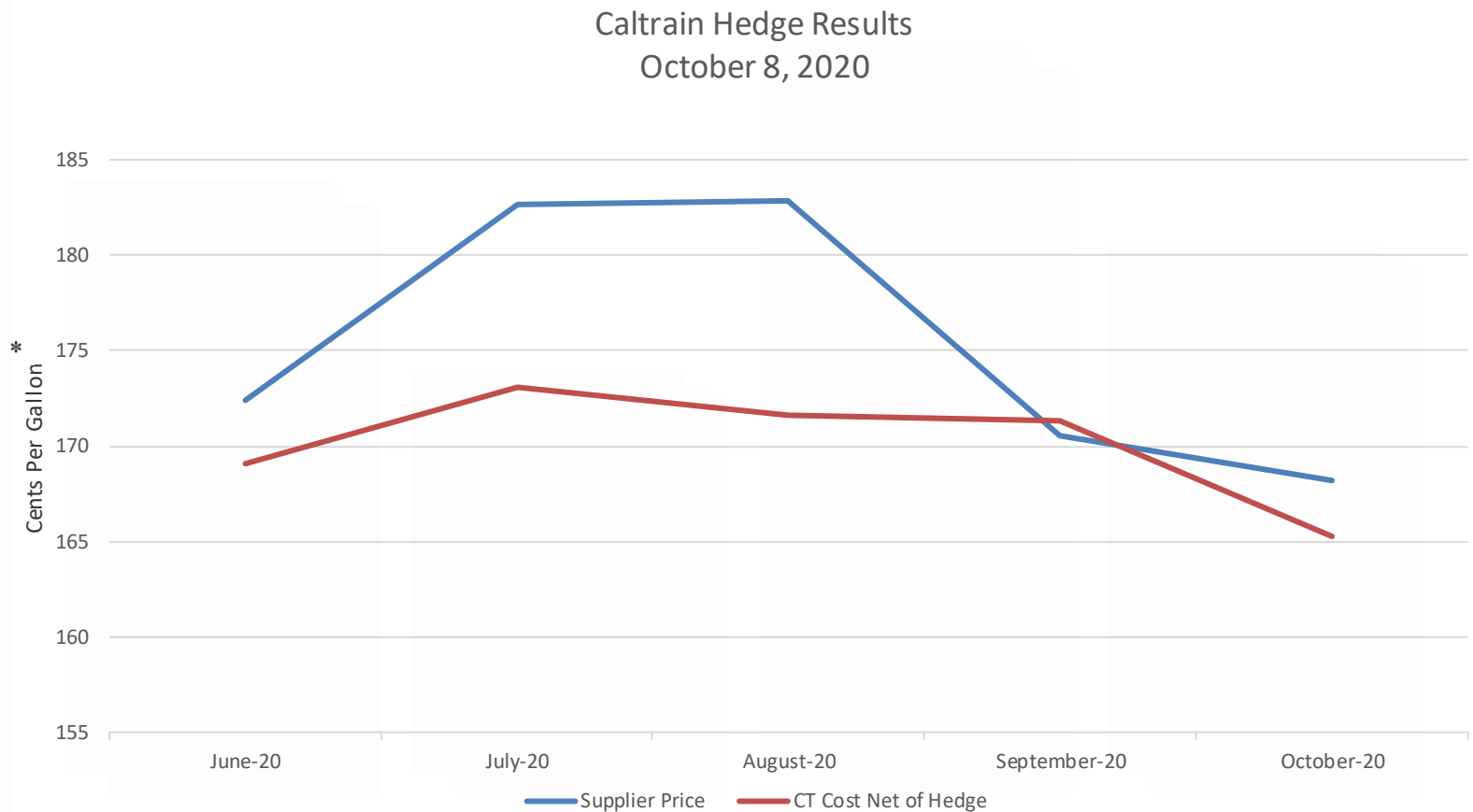
Caltrain Fuel Hedge Forecast

As of October 8th

- Percentage Hedge = Approximately 35% of the anticipated diesel usage through June 2021
- Average hedged diesel fuel price = \$1.23/gallon (excluding taxes and fees)
- Unhedged budget estimate = \$1.30/gallon, excluding taxes and fees (based on a 70 train/day schedule)

Caltrain Historical As of October 8th

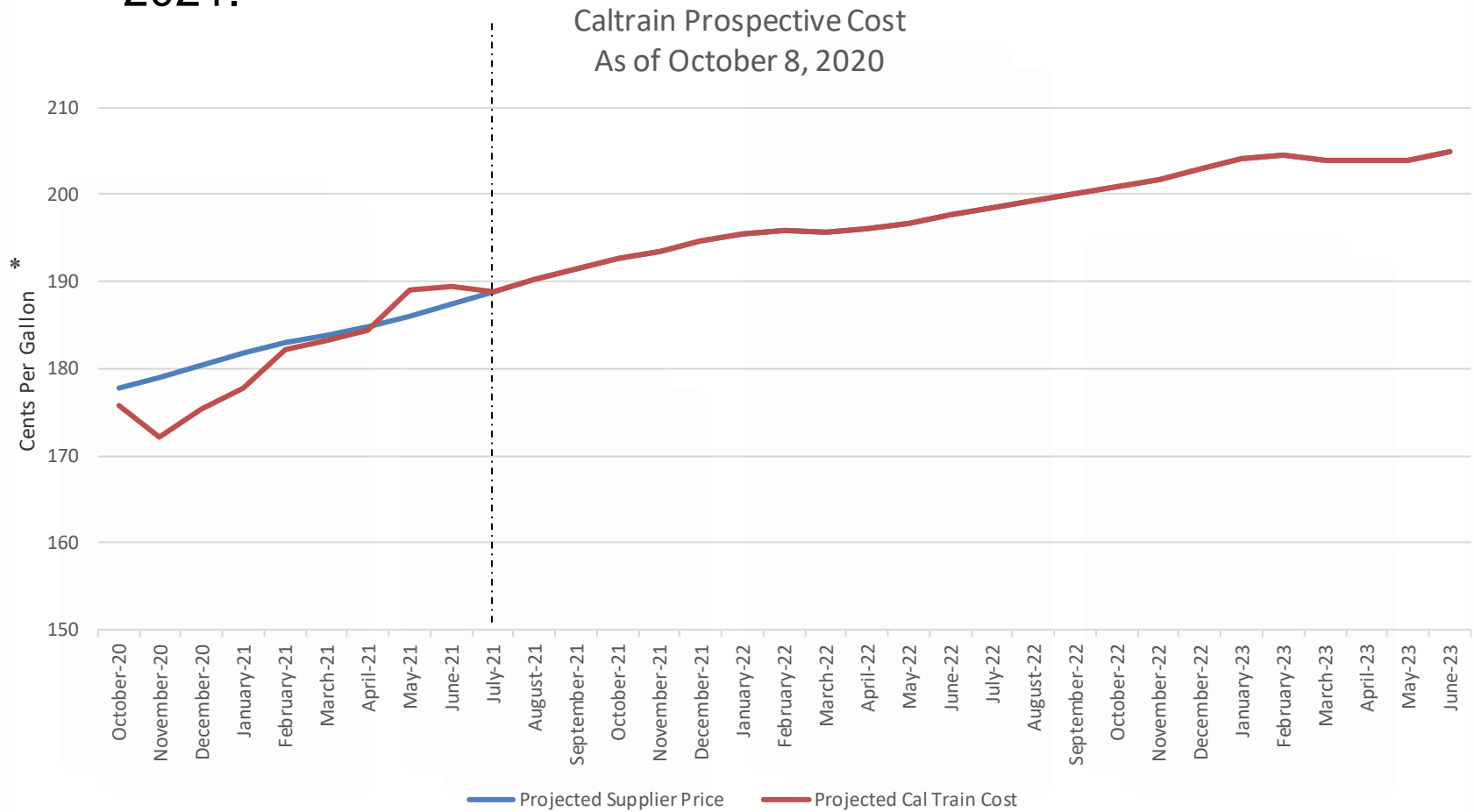
■ Realized Gains: \$41,865.60 since June.



* Taxes and Fees included in the Fuel Price Figures

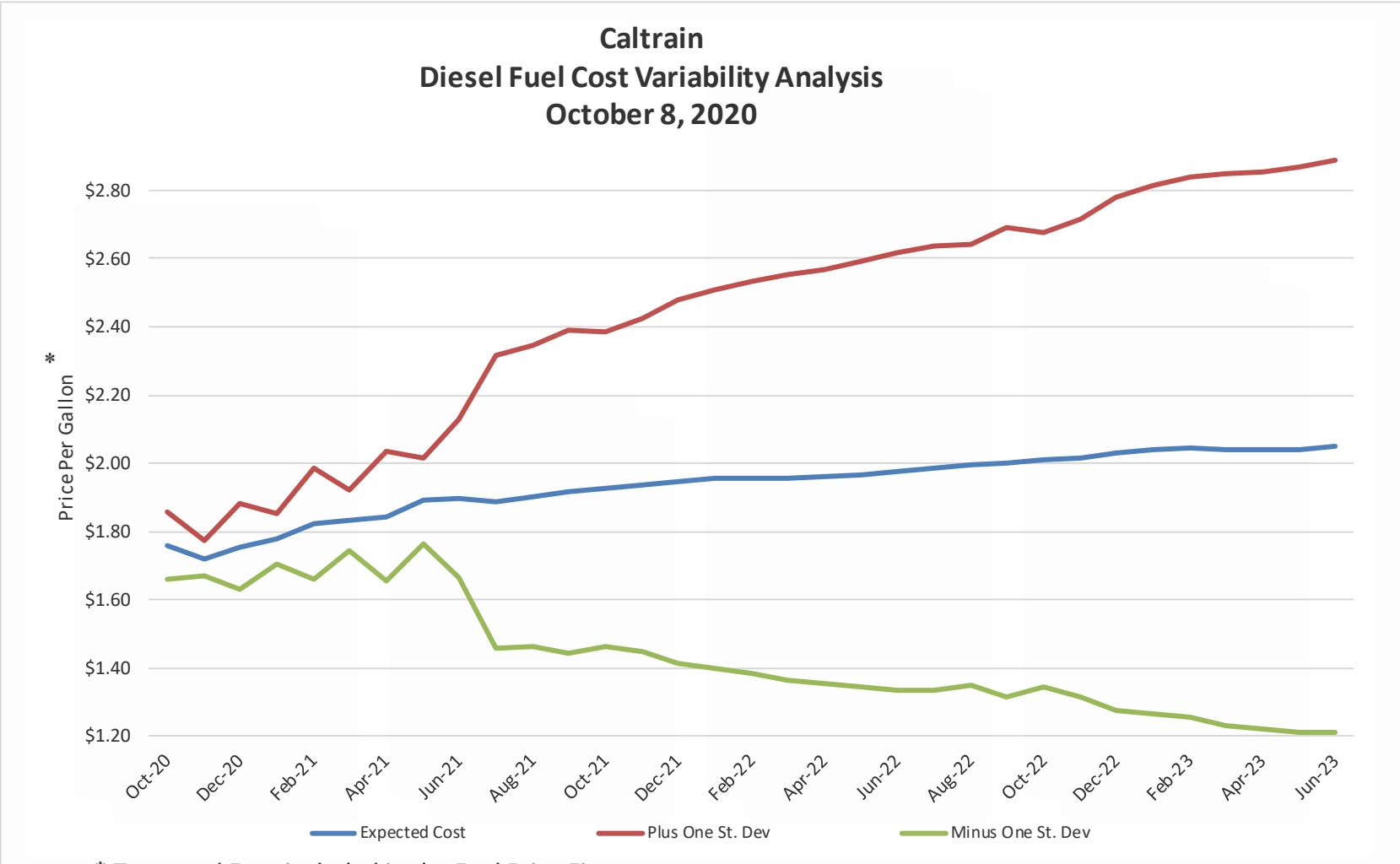
Caltrain Prospective As of October 8th

■ Unrealized Gains: +\$21,978.60 (+\$0.0149/gallon) through June 2021.



Caltrain Prospective Variability Analysis

As of October 8th



* Taxes and Fees included in the Fuel Price Figures

The Future of Caltrain's Fuel Hedge Strategy

- Caltrain will continue accumulating new fuel hedge contracts as market conditions allow
- Also, continue to maintain the size of the hedge in order to protect Caltrain's fuel hedge budget against adverse price movement

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **CURRENT STATUS OF THE OPERATING CONTRACT WITH TRANSITAMERICA SERVICES, INC.**

ACTION

This report is for information only. No Board action is required.

SIGNIFICANCE

The operating agreement (Agreement) with TransitAmerica Services, Inc. (TASI) ends on June 30, 2022. The JPB is considering extension of the Agreement beyond the ten-year term for an additional term up to five years in order to enable completion of construction of the Electrification project and subsequent start-up of service in an electrified environment.

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

On September 1, 2011, the Peninsula Corridor Joint Powers Board (JPB) awarded the Agreement to TASI pursuant to Board Resolution No. 2011-32. The five-year base term of the Agreement expired on June 30, 2017. On February 2, 2017, pursuant to Board Resolution No. 2017-08, the JPB authorized Amendment #4 to the Agreement and extended the Agreement term for an additional five years, ending on June 30, 2022.

Per the terms outlined in Amendment #4, the JPB will consider extension of the Agreement beyond the ten year term subject to negotiation of satisfactory commercial terms and obtaining approval from the Federal Transit Administration (FTA). In a letter received in November 2019, the FTA acknowledged JPB's intent to enter into negotiations with TASI to extend the current Agreement.

During the current term of the Agreement, TASI has provided all operational activities related to commuter service, as well as maintenance of all of Caltrain's fleet and infrastructure. In addition, TASI has provided support for a number of capital improvement projects, including Positive Train Control (PTC), replacement of several

aged railroad bridges, and support of Electrification. Staff believes it would not be in the public interest to take the risks associated with transferring responsibilities currently carried out by TASI to a new operator until after the Electrification project is completed and operated in revenue service for a reasonable period of time.

Staff is currently pursuing a potential extension with TASI. In exchange for the JPB agreeing to an extension to the Agreement, the JPB is negotiating improvements to the Agreement with regard to achieving improvements in efficiency and performance, maintaining decision-making flexibility, and obtaining cost savings, enhanced safety measures and a smooth transition to an expanded electrified service.

Prepared by: Danielle Stewart, Director, Rail Contracts and Budget 650.508.7975



Current Status of the Operating Contract with TransitAmerica Services, Inc. Informational Item

November 5, 2020

Agenda

- Background
- Considerations
- Objectives
- Next Steps

Background

- TASI provides rail operations, maintenance and support services in the following areas:
 - Administration/Safety
 - Operations
 - Maintenance of Equipment
 - Maintenance of Way
 - Stations
- TASI contract valid until June 2022

Background

- At December Board Meeting, staff was directed to renegotiate contract extension for up to 5 years (2027 as the end date) with TASI subject to obtaining improved contract terms
- Significant preparatory work has been completed and negotiations are in progress
- FTA approval for this approach has been obtained

Considerations

- Staff proposed contract extension:
 - Significant conflict with Electrification Program
 - De-risk project completion and transition to operation
 - Focus JPB staff on project rather than re-procurement effort
 - Threat of re-procurement as safety risk during this time
 - Discussed and supported by TTCI and FTA PMO

Objectives

- Commercial
 - increased efficiency
 - better alignment of TASI performance and contractual financial incentives
 - maintain Caltrain decision-making flexibility
 - projected savings
- Operational
 - Smooth transition to expanded electrified service
 - Enhanced safety including operation of PTC

Next Steps

- Upon satisfaction achievement of improved contract terms, anticipated contract amendment timeline:
 - December— Board approval
- Caltrain has presented “asks” to TASI; awaiting response
- Continued monthly presentations to PCEP Ad Hoc

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Dora Seamans
Executive Officer,
District Secretary/Executive Administration

SUBJECT: **2021 WPLP COMMITTEE MEETING CALENDAR**

ACTION

Staff Coordinating Council recommends the Joint Powers Board approve the attached JPB Work Program – Legislative – Planning (WPLP) Committee meeting calendar for 2021.

SIGNIFICANCE

The WPLP Committee's regular monthly meetings are scheduled for the fourth Wednesday of each month at 3:00 pm.

BUDGET IMPACT

There is no impact on the budget.



JPB Work Program-Legislative-Planning (WPLP) Meeting Calendar – 2021

Fourth Wednesdays – 3:00 PM

Wednesday, January 27

Wednesday, February 24

Wednesday, March 24

Wednesday, April 28

Wednesday, May 26

Wednesday, June 23

Wednesday, July 28

Wednesday, August 25

Wednesday, September 22

Wednesday, October 27

Wednesday, November 24, 2021

(Note – Thanksgiving is Thursday, Nov. 25, 2020) – to be determined/confirmed

Wednesday, December 22, 2020

(Note – Christmas, observed, is Friday, December 24, 2020) – to be determined/confirmed

Board Committee Members: Charles Stone (Chair), Cindy Chavez, Monique Zmuda.
Primary Staff Liaison: Michelle Bouchard, Sebastian Petty

Regular meetings scheduled monthly on the 4th Wednesday at 3:00 p.m., unless otherwise noted.

All meetings are held via [Zoom](#) or at 1250 San Carlos Avenue, San Carlos, CA, unless scheduled and stated otherwise at

https://www.caltrain.com/about/bod/Board_of_Directors_Meeting_Calendar.html

**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 2020 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

October 9, 2020

TO: Peninsula Corridor Joint Powers Board Members

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

RE: **STATE LEGISLATIVE UPDATE – October 2020**

General Update

On Monday August 31, the Legislature adjourned for final recess, marking the end of the 2019-2020 legislative session. The Governor has since wrapped up the bill signing period, where he had one month to consider approximately 400 bills that were passed out of the Legislature and sent to his desk. Compared to recent years, this is less than half of the normal bill load that is considered by the Governor. This significant reduction in bill volume was directly related to the COVID-19 pandemic, as legislators were repeatedly sent home from the Capitol due to workplace exposure to the virus.

Legislators are now working from their districts and will remain there until early January when the 2021-2022 Legislative Session convenes. It remains to be seen what next legislative session will look like in terms of remote voting and in-person activity in the Capitol given COVID-19.

Legislation of Interest

SB 288 (Wiener) – CEQA Exemptions for Transportation. This bill would provide additional CEQA exemptions for certain projects, including rail projects. Specifically, the bill provides an exemption for projects that increase passenger or commuter service on rail rights-of-way already in use, including modernization of existing stations and parking facilities. **The Caltrain Board supported this bill in August 2020.**

This bill was signed by the Governor on September 28.

SB 757 (Allen) – CEQA Judicial Streamlining for Rail Projects. This bill, which would put a “shot clock” on the courts for dispensing with CEQA litigation for certain types of mass transit projects, passed the Legislature overwhelmingly, with bi-partisan support.

However, because this bill was joined to SB 995 (Atkins), which failed to pass out of the Legislature before midnight on the last night of session, it cannot be implemented.

Governor Newsom vetoed the bill because of this. In his veto message, the Governor did note that he supports efforts to accelerate transit projects that reduce emissions and vehicle miles travelled, which lends to the expectation that a similar bill will be reintroduced next session.

SB 1351 (Beall) – Transportation Improvement Fee (TIF). This bill creates the Transportation Improvement Fee Finance Committee that would authorize revenue bonds to be issued to Caltrans to expedite transportation projects. Transit agencies raised concerns with this bill due to its potential to adversely impact transit operators within the Local Partnership Program.

Governor Newsom vetoed this bill noting that “bonding against these future revenues runs counter to the pay-as-you-go principle established by Senate Bill 1 and risks locking California into long-term debt obligations to finance maintenance repairs. Caltrans will need these revenues in the future to keep our roads and bridges safe.”

SB 1159 (Hill) – Workers’ Compensation. This bill establishes a rebuttable presumption that illness or death related to COVID-19 is an occupational injury and therefore eligible for workers’ compensation benefits. It contains provisions that create presumptions for frontline workers as well as a presumption for outbreaks that occur at worksites.

As discussed in previous updates, this bill was a priority issue in the Legislature this year and sought to close the gap after the Governor’s Executive Order on workers’ compensation expired on July 5, 2020.

The bill was signed by the Governor on September 17 and took effect immediately as an urgency bill.

AB 1867 (Committee on Budget) – COVID-19 Supplemental Paid Sick Leave. This proposal was amended into a budget bill vehicle just days before the end of session, narrowly making the previously discussed 72-hour rule. The bill is similar to the Governor’s earlier Executive Order that provided two additional weeks of supplemental sick leave for food sector workers, but this time expands this leave to all workers who work for employers with over 500 or more employees.

Like SB 1159, the bill was an urgency measure. It was signed by the Governor on September 9 and took effect immediately.

AB 107 (Committee on Budget) – Transit Funding Flexibility in the SB 1 SOGR Program (Section 20). This budget trailer bill contains numerous items related to state governance, including the funding flexibility sought by the California Transit Association within the \$100 million SB 1 Transit State of Good Repair Program.

This bill was signed by the Governor on September 29.

Election Update

With the November election quickly approaching, below is an update on some legislative races of interest on the Peninsula.

SD 15 Dave Cortese (D) vs. Ann Ravel (D) – This race in San Jose/Silicon Valley is between two Democrats. Ann Ravel is an attorney and former election compliance official in the Obama Administration while Dave Cortese has been a locally elected county supervisor, city council member and rancher. Cortese has the support of traditional Democratic allies in organized labor and public employee unions who spent heavily in the March primary. Ravel is supported by a broader base of business, community groups and enjoys editorial support for her election. While Cortese significantly outpolled Ravel in the primary, with only the two Democrats on the ballot it becomes a matter of whether Ravel can pick up the voters who voted for the Republican and NPP candidates in the primary.

SD 9 Senator Scott Wiener (D) vs. Jackie Fielder (D) – Only in San Francisco can one of the most progressive and liberal legislators in the Capitol be considered a moderate. That is the situation facing incumbent Senator Scott Wiener who is facing a challenge from the left by community activist Jackie Fielder. As a challenger to an incumbent, Fielder is getting a surprising amount of fundraising and community support. We believe Senator Wiener will prevail on election day. But, the dynamics of the race and its implications on intra party politics make it a race worth watching.

SD 13 Josh Becker (D) vs. Alexander Glew (R) --This race to replace termed-out Senator Jerry Hill for the peninsula state Senate seat was essentially decided in the March primary when Josh Becker prevailed over a number of other Democrats to face Republican candidate Alexander Glew. This seat is overwhelmingly Democrat and voters are expected to send Josh Becker to the Capitol on election day.

SD 17 John Laird (D) vs. Vicki Nohrden (R) -- This race involving Monterey, Santa Cruz, and Santa Clara counties pits former Assemblyman John Laird against Vicki Nohrden. Laird is an accomplished fundraiser and candidate. He will return to Sacramento and will be part of the Caltrain legislative delegation.

AD 25 Alex Lee (D) vs. Bob Brunton (R) -- Alex Lee is a 25-year old former legislative staffer who outpolled seven other Democrats in the March primary to make the general election race against the Republican Bob Brunton. This is an overwhelmingly Democratic seat comprising parts of Alameda and Santa Clara Counties.

Statewide Competitive Grant Programs

Below is a list of major competitive grant programs administered by the State from which transit and rail projects are eligible/can be funded.

Transit and Intercity Rail Capital Program (TIRCP)

The TIRCP was created to fund capital improvements to modernize California's intercity rail, bus, ferry, and rail transit systems to reduce emissions, expand and improve transit service and ridership, integrate rail services and improve transit safety. Funds available are estimated at \$450-500 million for Cycle 4 but could change on auction proceeds and changing cash flow requirements of already awarded projects.

Important Dates:

January 2020 – Applications Due

April 2020 – CalSTA Award Announcement

Solutions for Congested Corridors Program (SCCP)

The SCCP provides funding to achieve a balanced set of transportation, environmental, and community access improvements to reduce congestion throughout the state. The program makes \$250 million available annually (programmed in 2-year increments) for projects that implement specific transportation performance improvements.

Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due

June 2020 – Program Adoption

Local Partnership Program (LPP)

The LPP is intended to provide local and regional transportation agencies that have passed sales tax measures, developer fees, or other imposed transportation fees with a continuous appropriation of \$200 million annually from the Road Maintenance and Rehabilitation Account to fund road maintenance and rehabilitation, sound walls, and other transportation improvement projects. The Competitive program is funded at \$100 million annually.

Important Dates:

October 2019 – Guidelines Adopted

January 2020 – Applications Due

June 2020 – Program Adoption

Trade Corridor Enhancement Program (TCEP)

The TCEP provides funding for infrastructure improvements on federally designated Trade Corridors of National and Regional Significance, on the Primary Freight Network as identified in California Freight Mobility Plan, and along other corridors that have a high volume of freight movement. There is approximately \$300 million provided per year (programmed in 2-year increments) for the competitive program.

Important Dates:

January 2020 – Guidelines Adopted

March 2020 – Applications Due

June 2020 – Program Adoption

Grade Separation Funding

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

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

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

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

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

Caltrain

State Legislative Matrix 10/8/2020

Active Bills			
Bill Number (Author)	Summary	Location	Position
<p>AB 1867 (Committee on Budget)</p> <p>Small employer family leave mediation: handwashing; supplemental paid sick leave.</p>	<p>Existing law, the California Fair Employment and Housing Act (FEHA), establishes the Department of Fair Employment and Housing (DFEH) within the Business, Consumer Services, and Housing Agency to enforce civil rights laws with respect to housing and employment and to protect and safeguard the right of all persons to obtain and hold employment without discrimination based on specified characteristics or status. Under FEHA, the DFEH has specified powers, including the power to receive, investigate, conciliate, mediate, and prosecute certain complaints. The Moore-Brown-Roberti Family Rights Act, commonly known as the California Family Rights Act, which is a part of FEHA, makes it an unlawful employment practice for an employer, as defined, to refuse to grant a request by an eligible employee to take up to 12 workweeks of unpaid protected leave during any 12-month period for family care and medical leave, as specified. This bill would, upon specified circumstances, require the DFEH to create a small employer family leave mediation pilot program, as prescribed. The pilot program would authorize a small employer or the employee to request all parties to participate in mediation through the DFEH's dispute resolution division within a specified timeframe, after notice. The bill would prohibit an employee from pursuing civil action until the mediation is complete if an employer or employee requests mediation, as prescribed. The bill would toll the statute of limitations for the employee, including for additional related claims, from receipt of a request to participate in the program until the mediation is complete. These provisions of the bill would be repealed on January 1, 2024. This bill contains other related provisions and other existing laws. Chaptered: 9/10/2020</p>	Signed by Governor - Chaptered	Watch
<p>SB 146 (Beall D)</p> <p>Regional transportation plans: sustainable communities strategies: procedural requirements.</p>	<p>Existing law requires certain transportation planning agencies to prepare and adopt a regional transportation plan directed at achieving a coordinated and balanced regional transportation system. Certain of these agencies are designated under federal law as metropolitan planning organizations. As part of a regional transportation plan, existing law requires a metropolitan planning organization to adopt a sustainable communities strategy or alternative planning strategy, which is designed to achieve certain targets for 2020 and 2035 established by the State Air Resources Board for the reduction of greenhouse gas emissions from automobiles and light trucks in the region. Before the adoption of a sustainable communities strategy or an alternative planning strategy, existing law requires a metropolitan planning organization to complete certain procedural requirements, including a requirement to conduct informational meetings, as specified, and a requirement to adopt a public participation plan that includes, among other things, workshops throughout the region and public hearings on the draft sustainable communities strategy or alternative planning strategy, as specified. This bill, until January 1, 2023, would recharacterize the workshops as public engagement gatherings and would authorize these informational meetings, public engagement gatherings, and public hearings to be conducted by electronic means if a call-in telephonic option is also provided and the meeting is not required to be conducted pursuant to the Ralph M. Brown Act. The bill, until January 1, 2023, would make other related changes. This bill contains other existing laws. Chaptered: 9/25/2020</p>	Signed by Governor - Chaptered	Watch

Active Bills

<p><u>SB 288</u> (<u>Wiener D</u>)</p> <p>California Environmental Quality Act: exemptions: transportation-related projects.</p>	<p>(1)The California Environmental Quality Act (CEQA) requires a lead agency, as defined, to prepare, or cause to be prepared, and certify the completion of an environmental impact report on a project that it proposes to carry out or approve that may have a significant effect on the environment or to adopt a negative declaration if it finds that the project will not have that effect. CEQA also requires a lead agency to prepare a mitigated negative declaration for a project that may have a significant effect on the environment if revisions in the project would avoid or mitigate that effect and there is no substantial evidence that the project, as revised, would have a significant effect on the environment. This bill would further exempt from the requirements of CEQA certain projects, including projects for the institution or increase of new bus rapid transit, bus, or light rail services on public rail or highway rights-of-way, as specified, whether or not the right-of-way is in use for public mass transit, as specified, and projects for the designation and conversion of general purpose lanes, high-occupancy toll lanes, high-occupancy vehicle lanes, or highway shoulders, as specified. The bill would additionally exempt transit prioritization projects, projects that improve customer information and wayfinding for transit riders, bicyclists, or pedestrians, projects by a public transit agency to construct or maintain infrastructure to charge or refuel zero-emission transit buses, projects carried out by a city or county to reduce minimum parking requirements, and projects for pedestrian and bicycle facilities. The bill would, except as provided, require those exempt projects to meet additional specified criteria, including that a public agency is carrying out the project and is the lead agency for the project. The bill would, except as provided, require the lead agency to certify that those projects will be carried out by a skilled and trained workforce, except as provided. For those exempted projects exceeding \$100,000,000 in 2020 United States dollars, the bill, except as provided, would require the lead agency to complete and consider the results of a project business case and a racial equity analysis, as prescribed, would require the lead agency, before exempting a project from CEQA, to hold at least 3 noticed public meetings in the project area to hear and respond to public comments, would require the lead agency, in at least one of those public meetings, to review the project business case and the racial equity analysis, and would require the lead agency to conduct at least 2 noticed public meetings annually during project construction for the public to provide comments. If the lead agency determines to carry out a project exempt under the above provisions, the bill would require the lead agency to file a notice of exemption with the Office of Planning and Research and the county clerk of the county in which the project is located. The bill would repeal the above-described exemptions on January 1, 2023. This bill contains other related provisions and other existing laws.</p> <p>Chaptered: 9/28/2020</p>	<p>Signed by Governor – Chaptered</p>	<p>Supported August 2020</p>
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Active Bills

<p><u>SB 1159</u> (<u>Hill D</u>)</p> <p>Workers' compensation: COVID-19: critical workers.</p>	<p>Existing law establishes a workers' compensation system, administered by the Administrative Director of the Division of Workers' Compensation, to compensate an employee, as defined, for injuries sustained in the course of employment. Existing law creates a disputable presumption that specified injuries sustained in the course of employment of a specified member of law enforcement or a specified first responder arose out of and in the course of the employment. Existing law governs the procedures for filing a claim for workers' compensation, including filing a claim form, and provides that an injury is presumed compensable if liability is not rejected within 90 days after the claim form is filed, as specified. Existing case law provides for how certain presumptions may be rebutted. This bill would define "injury" for an employee to include illness or death resulting from the 2019 novel coronavirus disease (COVID-19) under specified circumstances, until January 1, 2023. The bill would create a disputable presumption, as specified, that the injury arose out of and in the course of the employment and is compensable, for specified dates of injury. The bill would limit the applicability of the presumption under certain circumstances. The bill would require an employee to exhaust their paid sick leave benefits and meet specified certification requirements before receiving any temporary disability benefits or, for police officers, firefighters, and other specified employees, a leave of absence. The bill would also make a claim relating to a COVID-19 illness presumptively compensable, as described above, after 30 days or 45 days, rather than 90 days. Until January 1, 2023, the bill would allow for a presumption of injury for all employees whose fellow employees at their place of employment experience specified levels of positive testing, and whose employer has 5 or more employees. This bill contains other related provisions.</p> <p>Chaptered: 9/17/2020</p>	<p>Signed by Governor – Chaptered</p>	<p>Watch</p>
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Inactive Bills

<p><u>AB 90</u> (<u>Committee on Budget</u>)</p> <p>Transportation.</p>	<p>(1) Under the Mills-Alquist-Deddeh Act, also known as the Transportation Development Act, revenues from a 1 / 4 % sales tax in each county are transferred to the county's local transportation fund and available, among other things, for allocation by a transportation planning agency to transit operators, subject to certain financial requirements for an operator to meet in order to be eligible to receive funds. Existing law sets forth alternative ways for an operator to qualify for funding, including a standard under which the allocated funds 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 cost. If an operator was allocated funds from a local transportation fund during a fiscal year in which it did not maintain the required ratio of fare revenues to operating cost, existing law requires the operator's eligibility to receive these moneys and specified allocations under the State Transit Assistance Program to be reduced during a subsequent penalty year by the amount of the difference between the required fare revenues and the actual fare revenues collected for the fiscal year that the required ratio was not maintained. This bill would prohibit the imposition of this penalty on an operator that does not maintain the required ratio of fare revenues to operating cost during the 2019–20 or 2020–21 fiscal year. This bill contains other related provisions and other existing laws.</p> <p>Chaptered: 6/29/2020</p>	<p>Signed by Governor – Chaptered</p>	<p>Watch</p>
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Inactive Bills

<p><u>AB 145</u> (<u>Frazier D</u>)</p> <p>High-Speed Rail Authority: Senate confirmation.</p>	<p>Existing law creates the High-Speed Rail Authority with specified powers and duties relative to development and implementation of a high-speed train system. The authority is composed of 11 members, including 5 voting members appointed by the Governor, 4 voting members appointed by the Legislature, and 2 nonvoting legislative members. This bill would provide that the members of the authority appointed by the Governor are subject to appointment with the advice and consent of the Senate.</p> <p>Introduced: 12/13/2018</p>	<p>Failed passage in the Senate Transportation Committee.</p>	<p>Watch</p>
<p><u>AB 196</u> (<u>Gonzalez D</u>)</p> <p>Workers' compensation: COVID-19: essential occupations and industries.</p>	<p>Existing law establishes a workers' compensation system, administered by the Administrative Director of the Division of Workers' Compensation, to compensate an employee for injuries sustained in the course of employment. Existing law creates a disputable presumption that specified injuries sustained in the course of employment of a specified member of law enforcement or a specified first responder arose out of and in the course of employment. Existing law establishes procedures for filing a workers' compensation claim, including a 90-day investigatory period prior to acceptance or denial. Existing law presumes a claim is accepted if it is not denied within the first 90 days after filing. This bill would define "injury," for certain employees who are employed in an occupation or industry deemed essential in the Governor's Executive Order of March 19, 2020 (Executive Order N-33-20), except as specified, or who are subsequently deemed essential, to include coronavirus disease 2019 (COVID-19) that develops or manifests itself during a period of employment of those persons in the essential occupation or industry. The bill would apply to injuries occurring on or after March 1, 2020, would create a disputable presumption, as specified, that the injury arose out of and in the course of the employment, and would extend that presumption following termination of service for a period of 90 days, commencing with the last date actually worked. The bill would shorten the investigatory timeframe for denial or presumed acceptance of a claim to 30 days, rather than 90 days.</p> <p>Amended: 8/25/2020</p>	<p>Failed passage on the Senate Floor.</p>	<p>Watch Closely</p>
<p><u>AB 1112</u> (<u>Friedman D</u>)</p> <p>Micromobility devices: relocation.</p>	<p>Existing law authorizes a peace officer to order the removal and storage of a vehicle under various circumstances, including when the vehicle is parked in a manner obstructing traffic or blocking access to a fire hydrant. Existing law generally regulates the operation of bicycles, electric bicycles, and motorized scooters. Under existing law, a violation of the Vehicle Code is a crime. This bill would prohibit an unauthorized person from removing an unattended micromobility device from a highway to a storage facility, garage, or other place. The bill would authorize a person to relocate an illegally parked micromobility device a short distance in order to clear a highway, sidewalk, doorway, or public bicycle path or trail for vehicle or pedestrian traffic. The bill would allow a peace officer to relocate an illegally parked micromobility device to a properly parked location. If relocation is impracticable, the bill would allow a peace officer to remove a micromobility device in the same manner as a vehicle. Because a violation of these provisions would be a crime, this bill would impose a state-mandated local program. This bill contains other existing laws.</p> <p>Amended: 7/22/2020</p>	<p>Failed passage in the Senate Transportation Committee.</p>	<p>Watch</p>

Inactive Bills

<p><u>AB 1991</u> (Friedman D)</p> <p>Transit and Intercity Rail Capital Program: passenger tramways.</p>	<p>Existing law establishes the Transit and Intercity Rail Capital Program, which is funded in part by a continuously appropriated allocation of 10% of the annual proceeds of the Greenhouse Gas Reduction Fund, to fund transformative capital improvements that will modernize California’s intercity, commuter, and urban rail systems and bus and ferry transit systems to achieve certain policy objectives. Existing law requires the Transportation Agency to evaluate applications for funding under the program and to approve a multiyear program of projects, as specified, and requires the California Transportation Commission to allocate funding to applicants pursuant to the program of projects approved by the agency. This bill would expand the purpose of the program to authorize funding for passenger tramway transit systems. By expanding the purposes for which continuously appropriated moneys may be used, the bill would make an appropriation.</p> <p>Introduced: 1/27/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p><u>AB 1992</u> (Friedman D)</p> <p>Transportation: transportation infrastructure: climate change.</p>	<p>Existing law vests the Department of Transportation with full possession and control of the state highway system. Existing law requires the department, in consultation with the California Transportation Commission, to prepare a robust asset management plan that assesses the health and condition of the state highway system and with which the department is able to determine the most effective way to apply the state’s limited resources. This bill would state the intent of the Legislature to enact legislation that would establish a new program to fund climate change adaptation planning for transportation impacts, data collection, modeling, and training. The bill would require the department, in consultation with the commission, to update the asset management plan on or before December 31, 2022, and every 4 years thereafter, and for the updates to take into account the forecasted impacts of climate change on transportation infrastructure. The bill would require the updates to the California Transportation Plan and the Strategic Growth Council’s report to include a forecast of the impacts of climate change on transportation infrastructure and measures to address those impacts. The bill would require the commission’s revisions to the guidelines for the preparation of regional transportation plans to include a requirement that designated transportation planning agencies take into account the forecasted transportation infrastructure impacts of climate change. By requiring regional transportation plans to take into account this additional factor, the bill would impose a state-mandated local program. This bill contains other existing laws.</p> <p>Amended: 3/11/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p><u>AB 2012</u> (Chu D)</p> <p>Free senior transit passes: eligibility for state funding.</p>	<p>Existing law declares that the fostering, continuance, and development of public transportation systems are a matter of state concern. Existing law authorizes the Department of Transportation to administer various programs and allocates moneys for various public transportation purposes. This bill would require transit agencies to offer free senior transit passes to persons over 65 years of age in order to be eligible for state funding under the Mills-Deddeh Transit Development Act, the State Transit Assistance Program, and the Low Carbon Transit Operations Program. The bill would require those free senior transit passes to count as full price fares for purposes of calculating the ratio of fare revenues to operating costs.</p> <p>Introduced: 1/28/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

Inactive Bills

<p>AB 2057 (Chiu D) San Francisco Bay area: public transportation.</p>	<p>(1)Existing law creates the Metropolitan Transportation Commission as a local area planning agency for the 9-county San Francisco Bay area with comprehensive regional transportation planning and other related responsibilities. Existing law creates various transit districts located in the San Francisco Bay area, with specified powers and duties relative to providing public transit services. Existing law establishes the Transportation Agency consisting of various state agencies under the supervision of an executive officer known as the Secretary of Transportation, who is required to develop and report to the Governor on legislative, budgetary, and administrative programs to accomplish comprehensive, long-range, and coordinated planning and policy formulation in the matters of public interest related to the agency.This bill would declare the intent of the Legislature to enact subsequent legislation that would create a transportation network manager for the 9-county San Francisco Bay area to, among other things, integrate all aspects of public transit within the 9-county San Francisco Bay area and provide leadership and accountability in planning, coordinating, and financing the transportation network. The bill would establish a 19-member Bay Area Seamless Transit Task Force to recommend to the Legislature the structure, governance, and funding of the transportation network manager and the organizational structure, governance, and funding for San Francisco Bay area transportation agencies, and other reforms to the San Francisco Bay area’s local, regional, and state public agencies, that should be enacted in future legislation to maximize the effectiveness of the public transit system in the San Francisco Bay area. The bill would require the Secretary of Transportation to convene the task force by April 1, 2021. The bill would require the Metropolitan Transportation Commission to provide staffing to the task force to aid it in the performance of its duties, and would require the Legislative Analyst’s Office to advise the task force in the performance of its duties. The bill would require the task force to submit a report to the Legislature on or before January 1, 2023, of its findings and recommendations and a summary of its activities. The bill would repeal these provisions on January 1, 2027.This bill would require the commission, in consultation with transit agencies, on or before January 1, 2022, (A) to create standardized discount categories and eligibility requirements for fare discount programs for seniors, students, youth, and other rider categories, and (B) to create a multimodal, multiagency pilot program to implement an accumulator pass that may be used with one regional rail agency and at least one transit agency. The bill would require the regional rail agency and the transit agency or agencies selected to participate in the pilot program to offer the accumulator pass to the public on or before July 1, 2022. The bill would require the commission to prepare a plan, on or before July 1, 2023, to deploy the Clipper card payment system on passenger trains operated on the Capitol Corridor and on passenger trains operated by the Altamont Corridor Express. The bill would require the commission, in the next upgrade to the Clipper card payment system, to enable customers to pay for paratransit, parking at transit stations, and employer and educational institution transit discount programs.This bill contains other related provisions and other existing laws.</p> <p>Amended: 5/4/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
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Inactive Bills

<p>AB 2176 (Holden D)</p> <p>Free student transit passes: eligibility for state funding.</p>	<p>Existing law declares that the fostering, continuance, and development of public transportation systems are a matter of state concern. Existing law authorizes the Department of Transportation to administer various programs and allocates moneys for various public transportation purposes. This bill would require transit agencies to offer free student transit passes to persons attending the California Community Colleges, the California State University, or the University of California in order to be eligible for state funding under the Mills-Alquist-Deddeh Act, the State Transit Assistance Program, or the Low Carbon Transit Operations Program. The bill would also require a free student transit pass to count as a full price fare for purposes of calculating the ratio of fare revenues to operating costs. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/11/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p>AB 2237 (Berman D)</p> <p>San Francisco Bay area county transportation authorities: contracting.</p>	<p>The Bay Area County Traffic and Transportation Funding Act authorizes each of the 9 counties in the San Francisco Bay area to impose a 1/2 of 1% or 1% sales tax for transportation purposes, subject to voter approval. Existing law provides for the establishment of a county transportation authority in each county imposing a sales tax under these provisions, requires the development of a county transportation expenditure plan, and specifies the powers and duties of a county board of supervisors and the county transportation authority in this regard. Existing law requires each county transportation authority to award contracts for the purchase of supplies, equipment, and materials in excess of \$75,000 to the lowest responsible bidder after competitive bidding, except in an emergency declared by the vote of 2/3 of the voting membership of the county transportation authority. This bill would require each county transportation authority to award contracts for the purchase of supplies, equipment, and materials in excess of \$150,000, rather than \$75,000, either to the lowest responsible bidder or to the responsible bidder whose proposal provides the best value, as defined, on the basis of the factors identified in the solicitation, except in a declared emergency, as specified. The bill would specify that the requirement does not apply to construction contracts.</p> <p>Amended: 5/4/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p>AB 2249 (Mathis R)</p> <p>High-speed rail: legislative oversight.</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed rail system in the state, with specified powers and duties. Existing law requires the authority, on or before March 1, 2017, and every 2 years thereafter, to provide a project update report, approved by the Secretary of Transportation as consistent with specified criteria, to the budget committees and the appropriate policy committees of both houses of the Legislature, on the development and implementation of intercity high-speed train service, as provided. This bill would create the Joint Legislative Committee on High-Speed Rail Oversight consisting of 3 Members of the Senate and 3 Members of the Assembly and would require the committee to ascertain facts, review documents, and take action thereon, and make recommendations to the Legislature concerning the state's programs, policies, and investments related to high-speed rail, as specified. The bill would require the authority and any entity contracting with the authority to give and furnish to the committee upon request information, records, and documents as the committee deems necessary and proper to achieve its purposes. The bill would require the authority to submit to the committee on a monthly basis certain information relating to the authority's ongoing operations in the development and implementation of intercity high-speed train service, as provided. This bill contains other related provisions and other existing laws. Introduced: 2/13/2020</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

Inactive Bills

<p>AB 2943 (Ting D)</p> <p>Surplus property: disposal.</p>	<p>Existing law prescribes requirements for the disposal of surplus land, as defined, by a local agency, as defined. Existing law requires land to be declared surplus land or exempt surplus land, as supported by written findings, before a local agency takes any action to dispose of it consistent with the agency’s policies or procedures. This bill would provide that the provisions regulating the disposal of surplus land shall not be construed to require a local agency to dispose of land that is determined to be surplus.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Local Government Committee*</p>	<p>Watch</p>
<p>AB 2987 (Flora R)</p> <p>Local agency public contracts: bidding procedures.</p>	<p>The Uniform Public Construction Cost Accounting Act authorizes a public agency to elect to become subject to uniform construction cost accounting procedures. The act authorizes bidding procedures for public projects, as specified. Those bidding procedures include procedures for the publication or posting and electronic transmission of notice inviting formal bids. This bill would authorize a public agency, as an alternative to the publication or posting requirement, to meet the notice inviting formal bids requirement by transmitting notice electronically, as specified, and publishing the notice electronically in a prescribed manner on the public agency’s internet website at least 14 calendar days before the date of opening the bids. This bill contains other related provisions and other existing laws.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Local Government Committee*</p>	<p>Watch</p>
<p>AB 3116 (Irwin D)</p> <p>Mobility devices: personal information.</p>	<p>Existing law, the California Consumer Privacy Act of 2018, grants a consumer various rights with respect to personal information, as defined, that is collected or sold by a business, as defined, including the right to opt out of the sale of a consumer’s personal information. This bill would authorize a public agency, defined as a state or local public entity that issues a permit to an operator for mobility services or that otherwise regulates an operator, to require an operator to periodically submit to the public agency anonymized trip data and the operator’s mobility devices operating in the geographic area under the public agency’s jurisdiction and provide specified notice of that requirement to the operator. The bill would authorize a public agency to share anonymized trip data with a contractor, agent, or other public agency only if specified conditions are met, including that the purpose of the sharing is to assist the public agency in the promotion and protection of transportation planning, integration of mobility options, and road safety. The bill would prohibit a public agency from sharing trip data with a contractor or agent. This bill contains other existing laws.</p> <p>Amended: 5/12/2020</p>	<p>Assembly Dead – Held in Appropriations Committee</p>	<p>Watch</p>
<p>AB 3128 (Burke D)</p> <p>Electricity: deenergization events: fuel cells.</p>	<p>Under existing law, the Public Utilities Commission has regulatory authority over public utilities, including electrical corporations. Existing law requires each electrical corporation to annually prepare a wildfire mitigation plan and to submit its plan to the commission for review and approval, as specified. Existing law requires the wildfire mitigation plan to include, among other things, protocols for disabling reclosers and deenergizing portions of the electrical distribution system, also known as public safety power shutoffs, that consider the associated impacts on public safety. This bill would provide that it is the intent of the Legislature to enact legislation that would incentivize the use of fuel cells to address reliability issues associated with public safety power shutoffs.</p> <p>Introduced: 2/21/2020</p>	<p>Failed passage in the Assembly Natural Resources Committee*</p>	<p>Watch</p>

Inactive Bills

<p><u>AB 3213</u> (<u>Rivas, Luz D</u>) High-Speed Rail Authority: high-speed rail service: priorities.</p>	<p>Existing law establishes the High-Speed Rail Authority within the state government with various powers and duties related to developing and implementing high-speed passenger rail service. Existing law requires the authority to direct the development and implementation of intercity high-speed rail service that is fully integrated with specified forms of transit. This bill would require the authority, in directing the development and implementation of intercity high-speed rail service, to prioritize projects based on specified criteria.</p> <p>Introduced: 2/21/2020</p>	<p>Assembly Dead – Failed Fiscal Committee Deadline</p>	<p>Watch</p>
<p><u>ACA 1</u> (<u>Aguiar-Curry D</u>) Local government financing: affordable housing and public infrastructure: voter approval.</p>	<p>(1)The California Constitution prohibits the ad valorem tax rate on real property from exceeding 1% of the full cash value of the property, subject to certain exceptions.This measure would create an additional exception to the 1% limit that would authorize a city, county, city and county, or special district to levy an ad valorem tax to service bonded indebtedness incurred to fund the construction, reconstruction, rehabilitation, or replacement of public infrastructure, affordable housing, or permanent supportive housing, or the acquisition or lease of real property for those purposes, if the proposition proposing that tax is approved by 55% of the voters of the city, county, or city and county, as applicable, and the proposition includes specified accountability requirements. The measure would specify that these provisions apply to any city, county, city and county, or special district measure imposing an ad valorem tax to pay the interest and redemption charges on bonded indebtedness for these purposes that is submitted at the same election as this measure.This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/18/2019</p>	<p>Dead</p>	<p>Watch</p>
<p><u>HR 97</u> (<u>Frazier D</u>) Relative to high-speed rail.</p>	<p>The High-Speed Rail Authority is hereby directed to not proceed with the execution of track and systems or train set procurements, or with the acquisition of the right-of-way along the City of Merced and the City of Bakersfield extensions, until the Assembly has considered and approved the High-Speed Rail Authority’s funding request for appropriation of the remaining bond funds.</p> <p>Chaptered: 6/11/2020</p>	<p>Assembly Adopted</p>	<p>Watch</p>
<p><u>SB 43</u> (<u>Allen D</u>) Carbon intensity and pricing: retail products.</p>	<p>The California Global Warming Solutions Act of 2006 designates the State Air Resources Board as the state agency charged with monitoring and regulating sources of emissions of greenhouse gases. The state board is required to approve a statewide greenhouse gas emissions limit equivalent to the statewide greenhouse gas emissions level in 1990 to be achieved by 2020 and to ensure that statewide greenhouse gas emissions are reduced to at least 40% below the 1990 level by 2030.This bill would require the state board, no later than January 1, 2022, to submit a report to the Legislature on the findings from a study, as specified, to determine the feasibility and practicality of assessing the carbon intensity of all retail products subject to the tax imposed pursuant to the Sales and Use Tax Law, so that the total carbon equivalent emissions associated with such retail products can be quantified.This bill contains other existing laws.</p> <p>Amended: 7/1/2019</p>	<p>Failed passage in the Assembly Revenue and Taxation Committee*</p>	<p>Watch</p>
<p><u>SB 147</u> (<u>Beall D</u>) High-Speed Rail Authority.</p>	<p>The California High-Speed Rail Act creates the High-Speed Rail Authority to develop and implement a high-speed train system in the state, with specified powers and duties. Existing law authorizes the authority, among other things, to keep the public informed of its activities.This bill would revise that provision to instead authorize the authority to keep the public informed through activities, including, but not limited to, community outreach events, public information workshops, and newsletters posted on the authority’s internet website. Introduced: 1/18/2019</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>

Inactive Bills

<p><u>SB 278</u> (<u>Beall D</u>) Metropolitan Transportation Commission.</p>	<p>The Metropolitan Transportation Commission Act creates the Metropolitan Transportation Commission as a local area planning agency to provide comprehensive regional transportation planning for the region comprised of the 9 San Francisco Bay area counties. The act requires the commission to continue to actively, on behalf of the entire region, seek to assist in the development of adequate funding sources to develop, construct, and support transportation projects that it determines are essential. This bill would also require the commission to determine that those transportation projects are a priority for the region. This bill contains other related provisions and other existing laws.</p> <p>Amended: 3/28/2019</p>	<p>Failed passage in the Assembly Transportation Committee*</p>	<p>Watch</p>
<p><u>SB 902</u> (<u>Wiener D</u>) Planning and zoning: housing development: density.</p>	<p>The Planning and Zoning Law requires a city or county to adopt a general plan for land use development within its boundaries that includes, among other things, a housing element. Existing law requires an attached housing development to be a permitted use, not subject to a conditional use permit, on any parcel zoned for multifamily housing if at least certain percentages of the units are available at affordable housing costs to very low income, lower income, and moderate-income households for at least 30 years and if the project meets specified conditions relating to location and being subject to a discretionary decision other than a conditional use permit. Existing law provides for various incentives intended to facilitate and expedite the construction of affordable housing. This bill would authorize a local government to pass an ordinance, notwithstanding any local restrictions on adopting zoning ordinances, to zone any parcel for up to 10 units of residential density per parcel, at a height specified by the local government in the ordinance, if the parcel is located in a transit-rich area, a jobs-rich area, or an urban infill site, as those terms are defined. In this regard, the bill would require the Department of Housing and Community Development, in consultation with the Office of Planning and Research, to determine jobs-rich areas and publish a map of those areas every 5 years, commencing January 1, 2022, based on specified criteria. The bill would specify that an ordinance adopted under these provisions is not a project for purposes of the California Environmental Quality Act. This bill contains other related provisions.</p> <p>Amended: 5/21/2020</p>	<p>Held in the Assembly Appropriations Committee</p>	<p>Watch</p>

*This bill is not moving forward due to limitations in place on bills under consideration due to COVID-19.

Caltrain September-October 2020 Transportation Report

Congressional Calendar

The House departed for recess on October 2, and is scheduled to be out until after the election, but could be called back for a vote with 24 hours' notice. The Senate is out until October 19.

The chart below outlines key dates, fiscal policy deadlines, and program expirations.

Key Dates & Deadlines	
October 12	Senate Judiciary Committee hearing on the nomination of Judge Amy Coney Barrett to be an Associate Justice of the United States Supreme Court Opening Statements - Judge Barrett and Senators.
October 13	Deadline for Coronavirus Relief Fund (CRF) recipients to submit detailed quarterly report (for period July 1-Sept. 30, 2020).
October 13-14	Senate Judiciary Committee hearing on the nomination of Judge Amy Coney Barrett to be an Associate Justice of the United States Supreme Court. Senators Q/A with Judge Barrett.
October 15	Senate Judiciary Committee hearing on the nomination of Judge Amy Coney Barrett to be an Associate Justice of the United States Supreme Court. Testimony and Q/A with outside witnesses.
October 15	CANCELLED: Second Presidential Debate.
October 22	Senate Judiciary Committee reports out the nominee.
October 22	Third Presidential Debate.
October 23	Senate Majority Leader Mitch McConnell could file cloture as early as Friday, October 23, and if so, the Senate would likely vote on Tuesday, October 27. McConnell has not said to date whether he will hold a final vote before or after the election.
October 31	Census enumeration completion date; last day for households to self-respond online, by phone or by mail.
November 3	Election Day
November 4 - December 14	[Electoral College] Counting the popular vote and filing Certificates of Ascertainment.
November 20	Congress adjourns for Thanksgiving holiday.
December 8	[Electoral College] Safe Harbor deadline.

December 11	Temporary Assistance for Needy Families (TANF(FY)) and Child Care Entitlement to States programs expire.
December 11	CR for Fiscal Year (FY) 2020 funding expires.
December 11	Health extender programs expire.
December 14	Electoral College delegations meet and vote.
December 31	Tax extenders and several coronavirus programs expire, including: <ul style="list-style-type: none"> • Student loan repayment and interest accrual suspension • Emergency sick, family leave, and other pandemic unemployment assistance programs • Federal payroll tax payment deferral for employees
December 31	Pandemic Unemployment Assistance Program expires (Some UI recipients may exhaust all UI benefits before deadline)
January 6, 2021	Joint Session of Congress to count electoral votes and declare official election results.
January 20, 2021	Inauguration Day
April 2021	Census Bureau to deliver apportionment counts to the President and Congress as required by law.
July 31, 2021	Census Bureau delivers count to states for legislative restricting.

Status of COVID-19 Relief Package

On October 9, President Donald Trump proposed a \$1.8 trillion coronavirus relief package, a higher amount than the \$1.6 trillion previously offered by the White House and rejected by House Democrats. “Covid Relief Negotiations are moving along. Go Big!” President Trump tweeted, a striking reversal from his position on October 6, when he said he would walk away from negotiations with Democrats on a comprehensive relief bill.

Top negotiators have been in talks but remain far apart on key issues, such as aid to state and local governments. Before President Trump called off negotiations, renewed talks had moved the dial somewhat on several items, including a new round \$1,200 direct payments to individuals as well as \$75 billion for coronavirus testing and tracing. Additional sticking points are the level of enhanced unemployment benefits and a child tax credit.

Senate Majority Leader Mitch McConnell (R-Ky.) said on October 9 that there is likely not enough time before the election to bridge the "vast" differences on a new virus relief package. Further, McConnell has said that the upper chamber's first priority is the confirmation of Judge Amy Coney Barrett to the Supreme Court "even if an agreement" on a relief deal is reached.

On October 13, Leader McConnell told reporters that when the Senate returns the week of October 19 they will focus on more targeted covid relief, and vote on new funding for the Payment Protection Program (PPP). Senate Democrats are unlikely to support the measure, and Speaker Pelosi has been on record saying she will not support standalone legislation. Additionally, on October 12, House Majority Leader Steny Hoyer (D-Md.) sent out a notice to lawmakers saying “that due to the Trump Administration’s failure to reach an agreement on coronavirus relief, no votes are expected in the House this week.” The House is in recess until after the election but they remain on 24-hour standby should an agreement be reached.

President Trump Signs Stopgap Funding Bill, Averts Government Shutdown

On October 1, President Donald Trump signed into law a continuing resolution (CR) to continue to provide funding for the federal agencies as Congress has not passed the FY 2021 appropriations bills. The CR, [H.R. 8337](#), will keep the government operating through December 11 at current spending levels. The House passed the bill on September 22 by a vote of 359 to 57, and the Senate passed the bill on September 30 by a vote of 84 to 10.

House Speaker Nancy Pelosi (D-Calif.) and Secretary Mnuchin agreed in September to keep the discussion of a coronavirus economic relief package separate from the stopgap bill. With the temporary spending bill finished, lawmakers will try to complete work on the 12 annual appropriations bills for FY 2021 in the post-election lame-duck session in November and December. However, if Democrats take control of the Senate, Congress could pass another CR in the lame duck and consider the FY 2021 appropriations bills next year in the new Congress.

Surface Transportation Bill Extension

The stopgap funding bill includes an extension of the FAST Act for one year--all FAST Act FY 2020 funding levels will continue until September 30, 2021. The extension also includes:

- **Sec. 1102.** An increase of the five-year, \$500 million aggregate limitation on non-highway freight projects funded by the INFRA grant program under the FAST Act to a six-year, \$600 million aggregate limitation.
- **Sec. 1106.** Suspends the application of the “Rostenkowski Test” for Highway Trust Fund Mass Transit Account self-sufficiency for FY 2021.
- **Sec. 1205.** Transfers \$14.0 billion from the general fund of the Treasury to the Airport and Airway Trust Fund.

Biden Planning to Move Fast on Infrastructure

House Transportation and Infrastructure (T&I) Committee Chairman Peter DeFazio (D-OR) reported that the Biden Administration is planning to release an infrastructure package quickly if elected. Chairman DeFazio said the Biden campaign team has expressed interest in the \$494 billion dollar surface transportation deal the House passed, the INVEST Act, earlier this year. Their goal would be to release a package as early as February 2021 to include coronavirus relief, new federal grant programs, and infrastructure reforms with a focus on combating climate change.

Vice President Biden’s campaign platform includes a plan to link infrastructure climate change and clean energy. He has a \$1.3 trillion infrastructure proposal that aims to reduce carbon emissions, create jobs and identify “new revenue” for the Highway Trust Fund.

U.S. Department of Transportation (USDOT) Announces \$1 Billion in BUILD Awards

On September 16, USDOT [announced](#) \$1 billion in grants through the Better Utilizing Investments to Leverage Development (BUILD) Transportation Discretionary Grants program.

The funding has been awarded to 70 projects in 44 states – a list of the selected projects can be found [here](#). The split among the modes for the selected projects are:

Aviation:	\$21,000,000	2.1%
Maritime:	\$77,268,125	7.9%
Rail:	\$20,000,000	2%
Road:	\$743,468,529	75.9%
Transit:	\$117,986,627	12%

The states of Texas (\$50 million) and Florida (\$49 million) received the most funding. There were two awards in California: \$16 million for the SR 99 / Commercial Ave. Interchange Project in Tulare and \$20 million for the Diamond Grade Separation project in Stockton.

Update of Transit Agencies Spending of CARES Act Funding in August

By the end of August, transit providers have spent \$10.2 billion (41%) of the \$25 billion CARES Act funding.

The 35 transit agencies, that received \$100 million or more in CARES Act grants, received \$15.2 billion, and as of August 31, had spent \$8.4 billion (55%). The other transit agencies received \$9.7 billion from the CARES Act, and have spent 19 percent of this funding as of August 31.

Grant Opportunities

- **Pilot Program for Transit-Oriented Development (TOD) Planning**: \$6.2 million available to support comprehensive planning associated with new fixed guideway and core capacity improvement projects. Applications are due by October 26.
- **Commuter Authority Rail Safety Improvement (CARSI) Grants**: \$50 million available to improve safety at public railway-highway crossings. Eligibility is limited to the following applicants: an applicant must be a “commuter authority”. An eligible commuter authority must have experienced at least one accident investigated by the National Transportation Safety Board (NTSB) between January 1, 2008, and December 31, 2018, and for which the NTSB issued an accident report. The applicant must be either: (1) a commuter authority that meets the eligibility requirements listed above; or (2) a public or non-profit entity partnering with an eligible commuter authority. Applications are due by October 26.
- **The Public Transportation COVID-19 Research Demonstration Grant Program**: \$10 million available to provide research funding for innovative solutions that support the phased reopening of local economies through access to safe public transportation. Applications due by November 2.
- **Expedited Project Delivery Pilot Program**: \$100 million available aimed at expediting delivery of new fixed guideway capital projects, small starts projects, or core capacity improvement projects. Applications will be accepted on a rolling basis until up to eight grants are awarded, subject to funding availability.



Memorandum

BOARD OF DIRECTORS 2020

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JIM HARTNETT
EXECUTIVE DIRECTOR

Date: October 27, 2020
To: Board of Directors
From: Jim Hartnett, Executive Director
Subject: November 5, 2020 JPB Board Meeting Executive Director's Report

- **On-time Performance –**
 - **Through October 26:** The preliminary October 2020 OTP was 97.3 percent compared to 93.3 percent for October 2019.
 - **September:** The September 2020 OTP was 97.5 percent compared to 93 percent for September 2019.
- **Ticket Vending Machine (TVM) Rehabilitation Testing –** As part of Caltrain's TVM Rehabilitation Project, 12 TVMs will be updated at 6 stations (San Jose, Sunnyvale, Palo Alto, Redwood City, Millbrae and San Francisco Stations) with the functionality to purchase and dispense Clipper cards and add value to Clipper cards in addition to dispense paper train and parking tickets. The first TVM will be available at San Jose Diridon station for revenue testing starting the week of November 16. Upon successful testing, the remaining TVMS will be installed at the other stations.
- **25th Avenue Grade Separation Project –** Update on the new Hillsdale Station opening that is part of the 25th Avenue Grade Separation Project which will improve safety and traffic flow and reduce horn noise. Previously targeted for fall 2020; the opening is now delayed due to COVID-19 and the pandemic's impact on the project's supply chain. We anticipate the new opening to occur in winter 2020/spring 2021, dependent on labor and materials. Below are estimated project milestone dates:

- 28th Avenue Connection Open: December 2020 / January 2021
 - E. 25th Avenue Closure: Based on 28th Avenue opening
 - Station Opening: Winter/Spring 2021
 - 25th Avenue Connection Open: Spring 2021
 - 31st Avenue Connection Open: Summer/Fall 2021
- **CAC Meeting** – The Citizens Advisory Committee met on Wednesday, October 21, via teleconference. Catherine Groves, Senior Counsel - Hanson Bridgett, provided a presentation on the Brown Act Training. Lin Guan, Deputy Director, Project Delivery - Caltrain Modernization Program, provided a presentation and update on PCEP. Jeremy Lipps, Social Media Officer, provided a presentation on the Website Replacement Project. Lori Low, Public Relations Officer, provided a virtual reality tour of the electric trains. Joe Navarro, Deputy Chief – Rail Operations, provided the Staff Report. The next CAC meeting is scheduled for Wednesday, November 18, via teleconference or in San Carlos.
 - **BAC Meeting** – The next Bicycle Advisory Committee meeting is scheduled for Thursday, November 19, via teleconference or in San Carlos.
 - **Special Event Train Service** – Caltrain is not operating special event service due to the cancellation or postponement of events as result of the COVID-19 pandemic.

Services Scheduled:

- **49ers Football** – Due to the COVID-19 pandemic, the 49ers began the 2020 season without fans in the stands. Levi's Stadium is in coordination with local and state health officials to determine when fans will be allowed back in the stands.
- **Stanford Football** – Due to the COVID-19 pandemic, the Pac-12 conference will begin a seven-game, modified conference-only season commencing on Saturday, November 7. No fans will be allowed in the stands during the 2020 college football season.
- **Holiday Service** – During the following days and Holidays, Caltrain will operate the following schedules:
 - Thursday, November 26, 2020 – Thanksgiving (Sunday schedule)
 - Friday, December 25, 2020 – Christmas Day (Sunday schedule)
 - Thursday, December 31, 2020 – New Year's Eve (Regular Weekday schedule)

- Friday, January 1, 2021 – New Year’s Day (Sunday schedule)

- **Modified Service** – The Modified Schedule is a Modified Saturday Schedule with extra trains in each direction and includes one round trip from Gilroy to SF. The Modified Schedule will be implemented during the following days and observed holidays:
 - Friday, November 27, 2020 – Day After Thanksgiving
 - Thursday, December 24, 2020 – Christmas Eve
 - Monday, January 18, 2021 – Martin Luther King Day
 - Monday, February 15, 2021 – President’s Day

Capital Projects –

The Capital Projects information is current as of October 16, 2020 and is subject to change between October 16 and November 5, 2020 (Board Meeting).

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

The temporary closure of the Hillsdale Station, to allow completion of the project, began on May 16, 2020 and will continue into late Winter 2020/early Spring 2021 to allow construction of the new grade separations. During the temporary closure trains that normally stopped at Hillsdale will stop at Belmont, and bus and shuttle service between Belmont and Hillsdale Station has been provided to minimize the temporary passenger inconvenience.

In October, construction activity continued for the retaining walls and underground utilities for the future roadway underpasses at 28th and 31st Avenues. Work also continued for the architectural and electrical finishes for the new Hillsdale Station and connecting bridges at 28th Avenue and the Pedestrian Underpass. Also in progress is the construction of the new parking lots along Delaware Street on the east side of the alignment. Additional work at the Borel Creek for environmental permit compliance was also completed.

Adjacent to this project is a new contract to relocate and improve the storm drain system along Delaware Street adjacent to the new station and new parking lots on the east side of the project. This work was to be undertaken by the City of San Mateo. This work is now being performed by Caltrain at the request of the City. The construction contract was advertised for bids on June 12, bids were received on August 3, and was awarded at the October 1 Board Meeting. Execution of the contract is underway and a Limited Notice to Proceed is planned to be issued in November 2020 to kick off the construction administrative period.

- **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 October, the west plaza construction at the intersection of Airport Boulevard and Grand Avenue, and the connecting west ramps and stairway continued. Also, the structure of the electrical and communications conduits at the center boarding platform started. The contractor completed the remaining OCS foundations in September 2020. Due to the contractor caused delays, the project completion date is forecasted to extend from December 2020 until June 2021.

- **Marin and Napoleon Bridge Rehabilitation Project:** This state of good repair project will perform repairs at the Marin St. Bridge and replace the Napoleon St. Bridge. Both bridges are in the City of San Francisco located south of the 22nd Street Station. The repairs at Marin Street are primarily for concrete spalling and cracks, and deficient walkways and handrails. The Napoleon St. bridge concrete spans will be removed and replaced with elevated soil berm structures and the main steel span will be replaced with a new steel span. The span replacement at Napoleon Street will require partial weekend service outages between Bayshore and 4th & King Stations during the outages. The project will install security fencing to deter encampments, and, also include track improvements in the vicinity of the bridges.

The Limited Notice to Proceed was issued to the contractor, Proven Management, on August 10 and the project is scheduled to complete the 60-day administrative period for critical submittals and safety training. Site construction is scheduled to begin in late October with site surveys and preparatory work. The contract is planned to complete in the summer of 2021.

- **Ticket Vending Machine (TVM) Rehabilitation:** Upgrade the existing TVM Server and retrofit and refurbish two existing TVM machines to become prototypes for new TVM's so that the machines are capable of performing the functions planned for the current Clipper program. The new machines will be able to dispense new Clipper cards (excluding discount Clipper cards that require verification of eligibility) and have the ability of increasing the cash values of existing Clipper cards. The scope of the original contract was increased to include upgrades to the credit card reader and the database.

In early October, the first phase of the project to develop a prototype Clipper TVM has successfully completed final acceptance testing that results in completion of Phase 1. Phase 2 for the retrofitting of 12 additional TVM's is now underway with target completion of Phase 2 by the end of 2020 to early 2021. The funding for Phase 3, for the rehabilitation of an additional 22 TVM's, has now been secured and will also be added to the project. Additional funds for Phase 4 for another 25 TVM's are included in the proposed FY21 Capital Budget amendment. Additional phases beyond Phase 4 are required to upgrade all stations.

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

The 100% crossing design by the Electrification project is still not yet available for design coordination and a timeframe for its receipt is to be determined. The project has proceeded to complete its own design without this information from the Electrification project. The 100% design is complete and the Notice to Proceed for construction was issued to TASI on July 9. TASI is still currently procuring materials for the work that is expected for delivery in early 2021. TASI has commenced construction with preparatory work for installation of underground wires and cables before the equipment arrives.

- **FY19/FY20 Grade Crossing Improvements:** This project is a continuation of the ongoing grade crossing program to improve the safety at grade crossings in accordance with Grade Crossing Hazards Analysis for the entire

corridor. This analysis prioritized the crossings and we have proceeded with the work in phases based on funding availability. 10 crossings were improved in 2018 under the FY16 budget authorization. Due to budget constraints, the FY19/FY20 scope is limited to five (5) crossings to be improved. The five crossings selected to be improved in this phase are 1st, 2nd, and 3rd Avenues in San Mateo, and, Glenwood and Oak Grove Avenues in Menlo Park. Work items that are included are the installation of signals, fences, gates, curbs, lighting and signs.

The construction contract was advertised for bids on August 31 and multiple bids were received on October 12. The staff's review of bids is currently underway. The award of the contract is tentatively planned for January 2021 Board meeting but may potentially be advanced to the December 2020 board meeting. Construction is planned to begin in early 2021 and lasting until Fall of 2021.

- **Churchill Avenue Grade Crossing Improvements:** This project will make pedestrian and bicycle access improvements, and, safety improvements to the Churchill Avenue crossing in the city of Palo Alto. The project scope includes the widening of the sidewalks, associated relocation of pedestrian gates, and installing new vehicle pavement markings and markers.

The project began in December 2019. The 35% design received in March is under review including the review by the City of Palo Alto. The City of Palo Alto is rethinking the scope of work for the project and is in discussion with CPUC and Caltrans to modify the scope. Design is currently on hold until the City of Palo Alto decides on the scope in order to proceed forward with the project. The City of Palo Alto has just recently retained a design consultant to support their efforts and a kick off meeting has been held between JPB staff and the City's design consultant.

- **Broadband Wireless Communications for Railroad Operations:** This project is to provide wireless communications system to provide enhanced capabilities for the monitoring of the railroad operations and maintenance, and, provide Wi-Fi capability for passengers. This project is funded through a grant from the Transit and Intercity Rail Capital Program (TIRCP). Currently, the project is currently only approved for the planning/design phase.

The project is currently continuing the planning/conceptual design phase that began in November 2019. The current schedule calls for the planning/conceptual design efforts to complete by the October/November 2020. Following the planning/conceptual design phase, the project will enter

the final design phase to complete the design and develop construction contract bid documents for advertisement in 2021.

- **MP-36 Locomotive Mid-Life Overhaul Project:** Perform mid-life overhaul of six MP-36-3C Locomotives. The mid-life overhaul of the locomotives includes the complete disassembly of the main diesel engine, overhauling by reconditioning re-usable main frame components and re-assembly with new engine components and the replacement of the Separate Head-End Power (SEP-HEP) unit and all electrical components of the SEP-HEP compartment. All areas of the locomotive car body, trucks, wheels and electrical components shall be reconditioned to like-new condition or replaced with new material. The project work shall be completed off-site at the contractor's facility location. The 6 locomotives to be overhauled are Locomotive #'s 923, 924, 925, 926, 927 & 928. In order to maintain daily service, only 1 to 2 of these locomotives will be released at a time for overhaul that is expected to take approximately 8 months per locomotive. Due to this restriction, the overall completion of this work is expected to take approximately 4 years.

The first vehicle was shipped to the vendor's facility at Mare Island (Vallejo) in July overhauling is underway with completion of the first locomotive expected by the winter of 2020/2021.

**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). The MPR is available online under "Reports and Presentations" at this webpage: http://www.caltrain.com/projectsplans/CaltrainModernization/CalMod_Document_Library.html. No action required.

SIGNIFICANCE

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

BUDGET IMPACT

There is no impact on the budget.

BACKGROUND

The MPR 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



Caltrain Modernization Program Peninsula Corridor Electrification Project (PCEP)



September 2020 Monthly Progress Report

September 30, 2020

Funding Partners



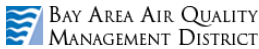
Federal Transit Administration (FTA) Core Capacity
FTA Section 5307 (Environmental / Pre Development only)
FTA Section 5307 (Electric Multiple Unit (EMU) only)



Prop 1B (Public Transportation Modernization & Improvement Account)
Caltrain Low Carbon Transit Operations Cap and Trade



Proposition 1A
California High Speed Rail Authority (CHSRA) Cap and Trade



Carl Moyer Fund



Bridge Tolls (Funds Regional Measure (RM) 1/RM2)



San Francisco
County Transportation
Authority



San Francisco County Transportation Authority (SFCTA)/San Francisco
Municipal Transportation Agency (SFMTA)



San Mateo County Transportation Authority (SMCTA) Contribution
SMCTA Measure A



Santa Clara Valley Transportation Authority (VTA) Measure A
VTA Contribution



City and County of San Francisco (CCSF) Contribution

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1.0 BACKGROUND

Over the last decade, Caltrain has experienced a substantial increase in ridership and anticipates further increases in ridership demand as the San Francisco Bay Area's population grows. The Caltrain Modernization (CalMod) Program, scheduled to be implemented by 2021, will electrify and upgrade the performance, operating efficiency, capacity, safety, and reliability of Caltrain's commuter rail service.

The PCEP is a key component of the CalMod Program and consists of converting Caltrain from diesel-hauled to Electric Multiple Unit (EMU) trains for service between the San Francisco Station (at the intersection of Fourth and King Streets in San Francisco) and the Tamien Station in San Jose. Caltrain will continue Gilroy service and support existing tenants.

An electrified Caltrain will better address Peninsula commuters' vision of environmentally friendly, fast and reliable service. Electrification will modernize Caltrain and make it possible to increase service while offering several advantages in comparison with existing diesel power use, including:

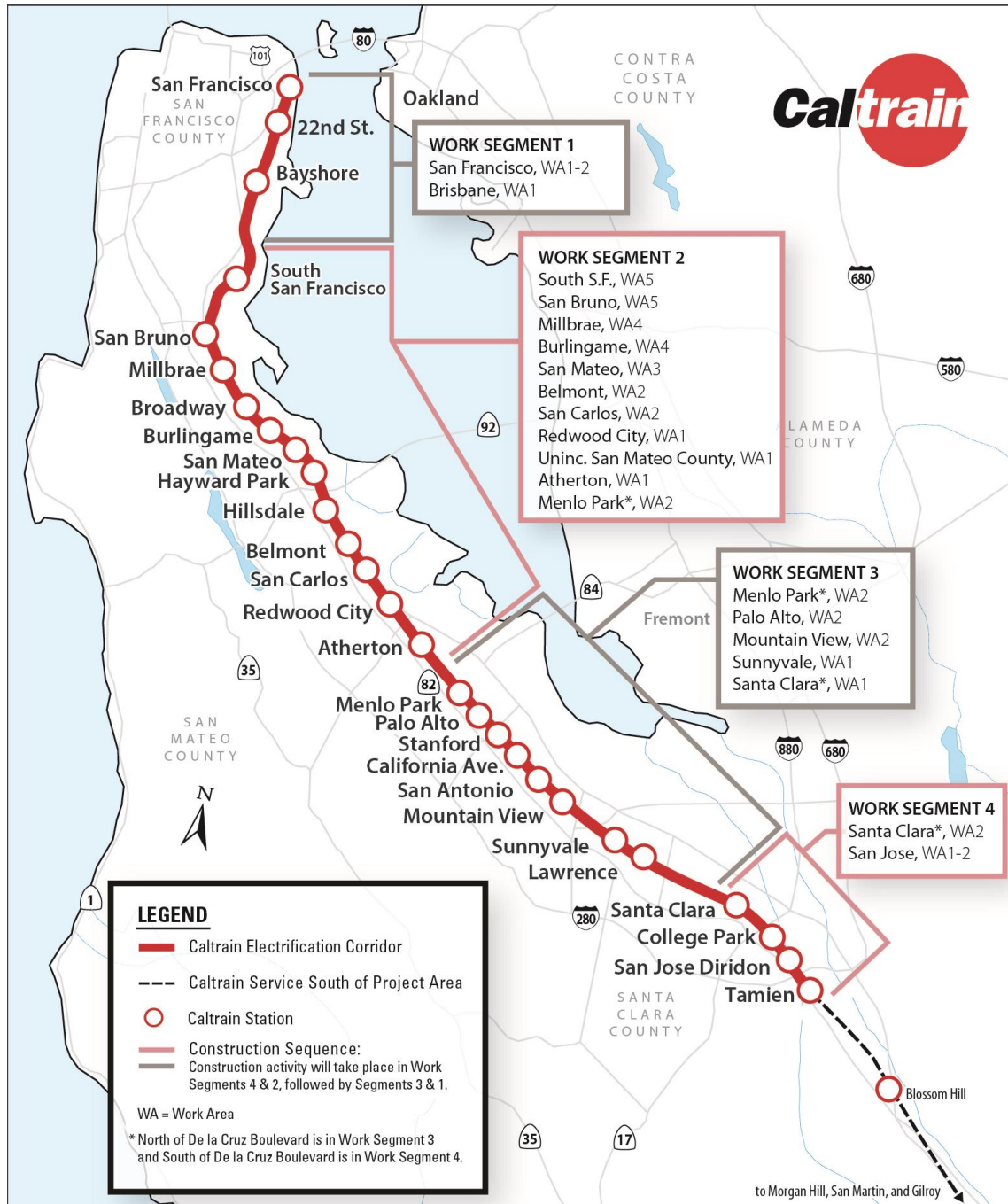
- **Improved Train Performance, Increased Ridership Capacity and Increased Service:** Electrified trains can accelerate and decelerate more quickly than diesel-powered trains, allowing Caltrain to run more efficiently. In addition, because of their performance advantages, electrified trains will enable more frequent and/or faster train service to more riders.
- **Increased Revenue and Reduced Fuel Cost:** An electrified Caltrain will increase ridership and fare revenues while decreasing fuel costs.
- **Reduced Engine Noise Emanating from Trains:** Noise from electrified train engines is measurably less than noise from diesel train engines. Train horns will continue to be required at grade crossings, adhering to current safety regulations.
- **Improved Regional Air Quality and Reduced Greenhouse Gas Emissions:** Electrified trains will produce substantially less corridor air pollution compared with diesel trains even when the indirect emissions from electrical power generation are included. Increased ridership will reduce automobile usage, resulting in additional air quality benefits. In addition, the reduction of greenhouse gas emissions will improve our regional air quality, and will also help meet the state's emission reduction goals.

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2.0 EXECUTIVE SUMMARY

The Monthly Progress Report is intended to provide an overview of the PCEP and provide funding partners, stakeholders, and the public an overall update on the progress of the project. This document provides information on the scope, cost, funding, schedule, and project implementation. Work along the Caltrain Electrification Corridor has been divided into four work segments and respective work areas (WA) as shown in Figure 2-1. PCEP activities are described and summarized by segments and work areas.

Figure 2-1 PCEP Work Segments



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Installation of off-track Overhead Catenary System (OCS) foundations in Segments 1, 3 and 4 continued in September. Crews completed the installation of the transformer pad and installed main gantry foundations at Paralleling Station (PS) PS-2. Construction activities at various other PSs include continued installation of transformer pads, ductbank, fencing, and electrical panels. Pre-testing was performed at multiple sites in Segment 4, including Control Point (CP) Shark.

EMU manufacturing is delayed due to labor and parts shortages resulting from Coronavirus Disease 2019 (COVID-19). Stadler’s Salt Lake City facility reverted back to two production shifts as a recent outbreak of COVID-19 occurred at the facility. Shipping the first trainset to Pueblo for testing has been delayed until January. While type testing of Trainset 1 is still on hold due to travel restrictions, Stadler has continued to make progress by completing other related tasks. Trainset 3 is on track to be delivered onsite in April. Manufacturing of car shells and truck frames is still on schedule.

2.1. Monthly Dashboards

Dashboard progress charts are included below to summarize construction progress.

Figure 2-2 Expenditure – Planned vs. Actual

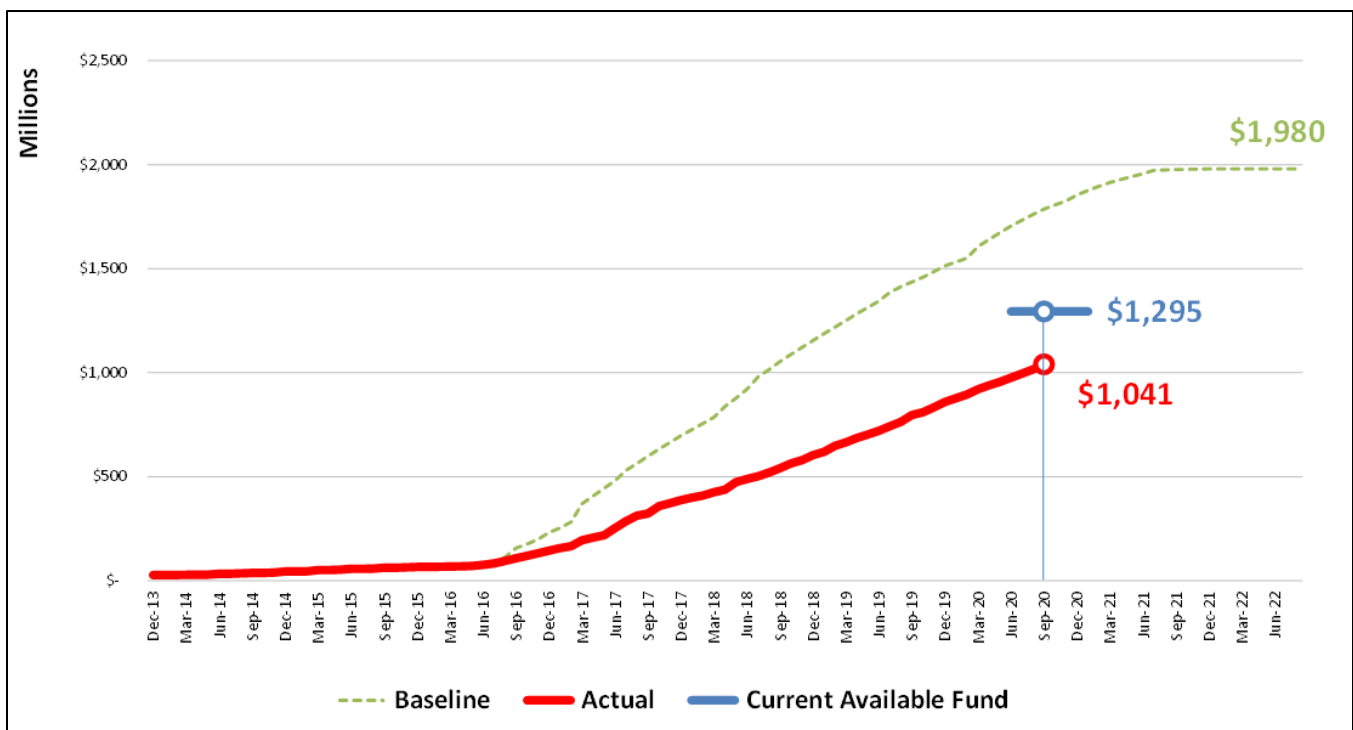


Figure 2-3 Spending Rate vs. Required

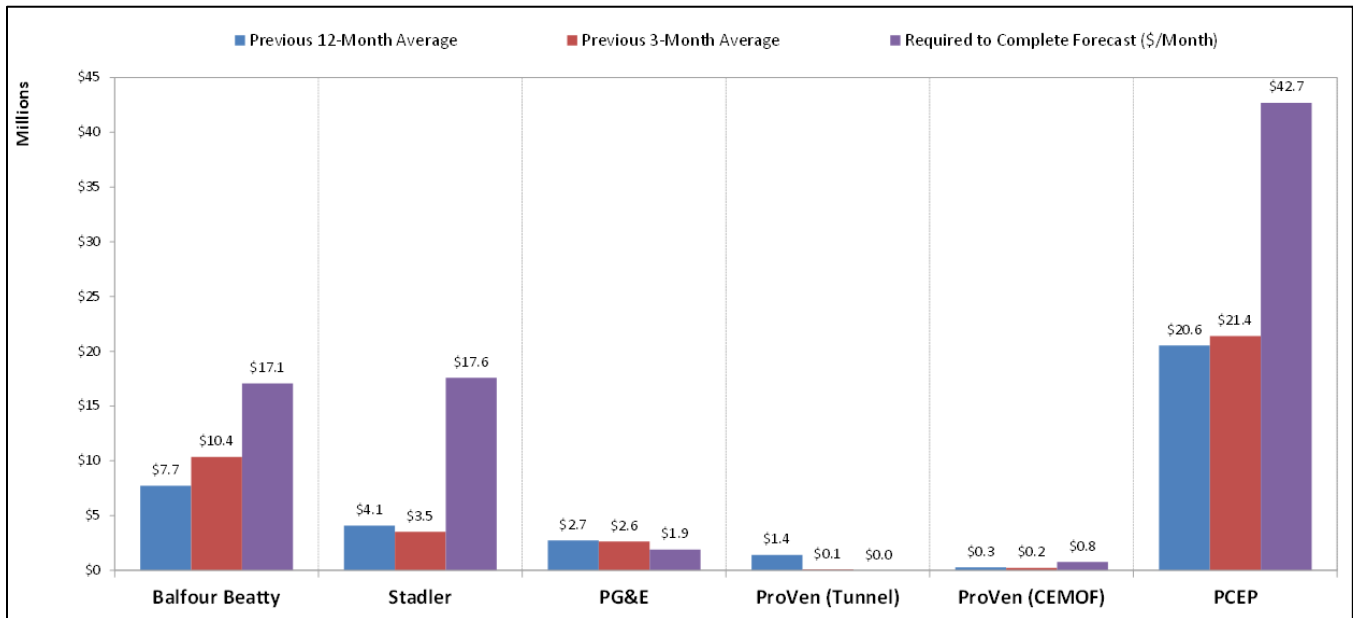
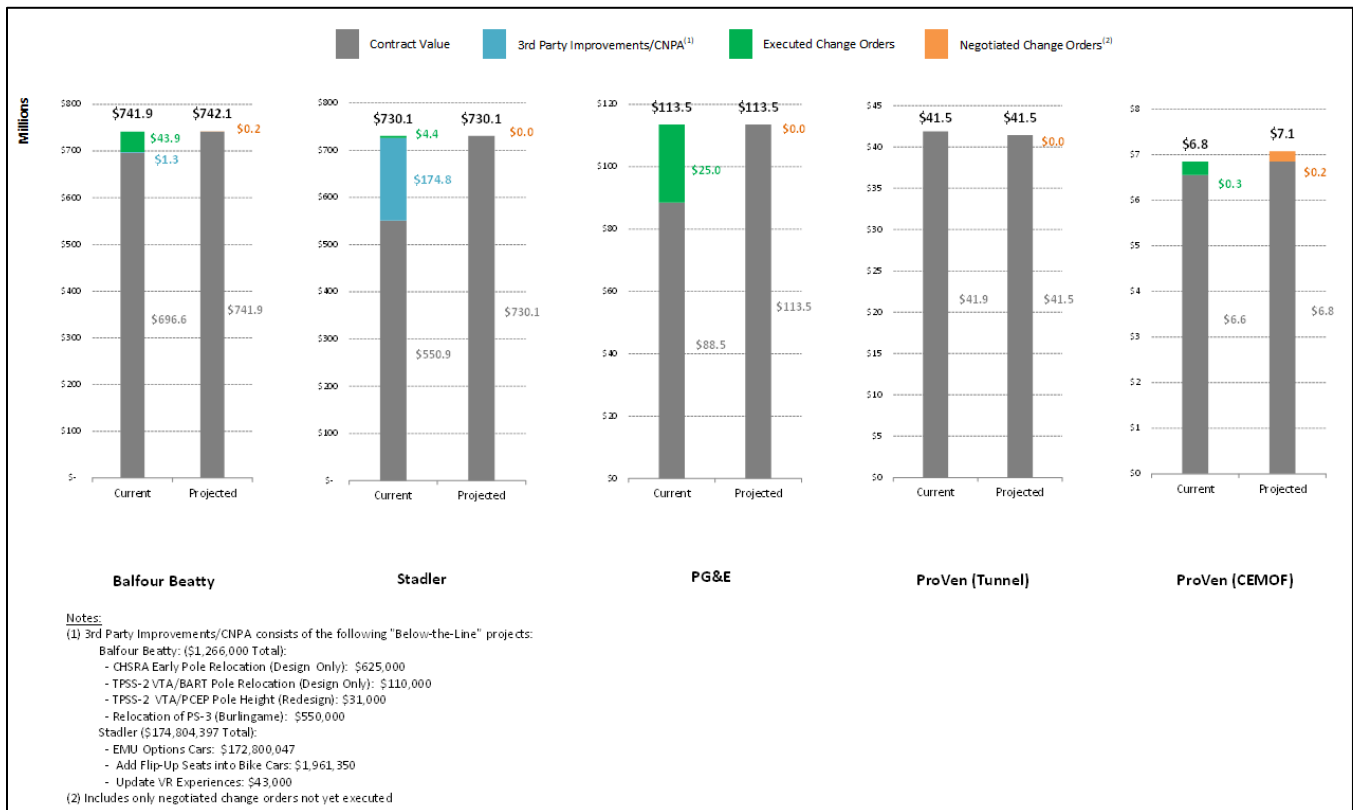


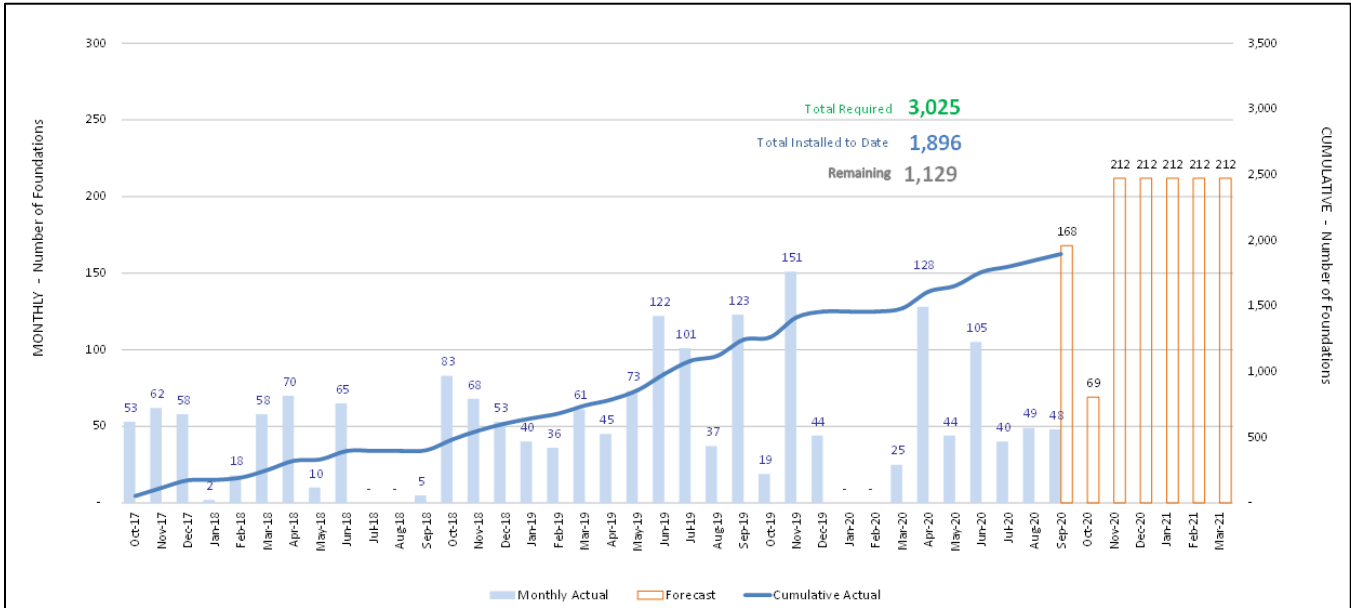
Figure 2-4 Construction Contract Budgets



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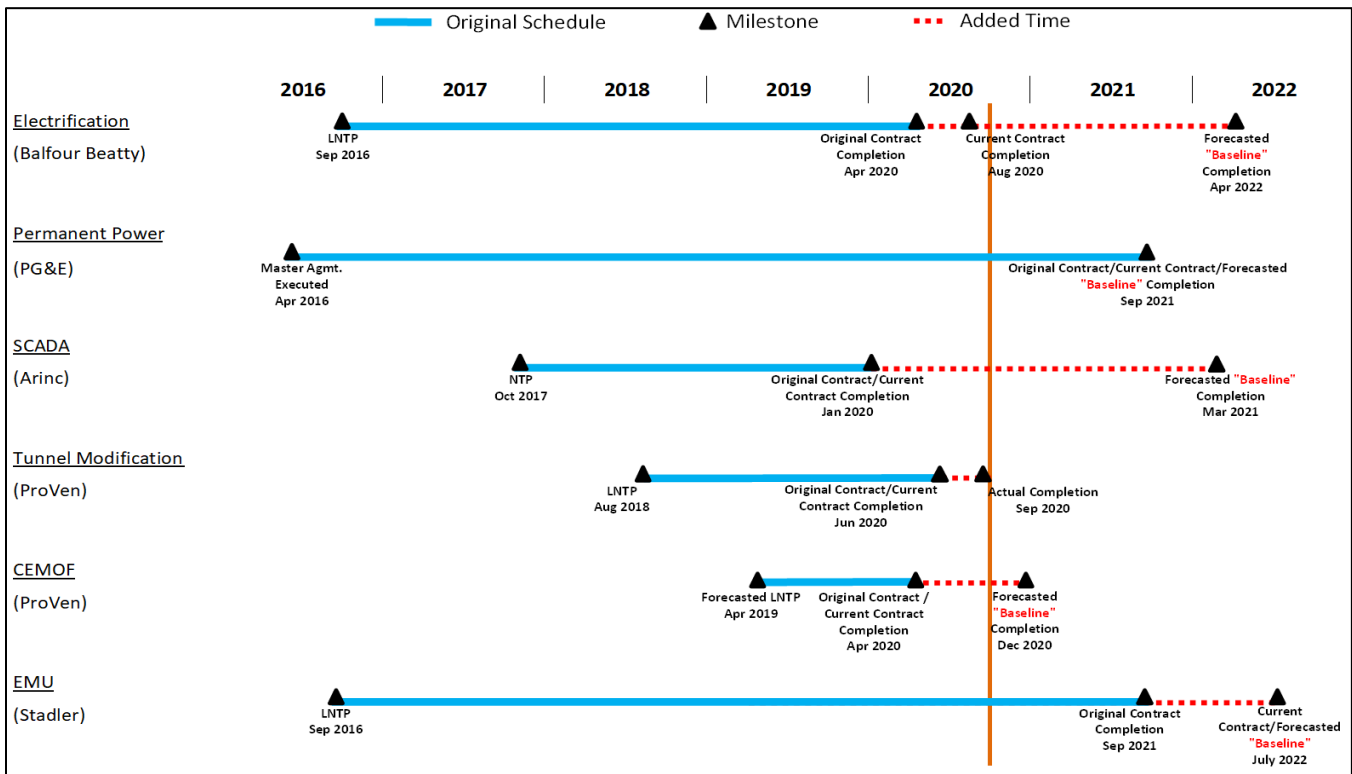
Figure 2-5 OCS Foundation Production



Notes regarding tables above:

- BBII is now reporting a delay in the completion date for the OCS foundations from December 31, 2020 to March 31, 2021. The monthly forecast will be revised at the end of ongoing OCS foundation workshops, which are held to determine the level of effort necessary for each of the activities prior to foundation installation. The delay to the OCS foundation completion date did not change the substantial completion date of the BBII contract.

Figure 2-6 Contractor Completion Schedule



2.2. Funding Partners Participation in PCEP

The PCEP has a series of weekly, biweekly, monthly and quarterly meetings to coordinate all aspects of the program. The meetings are attended by project staff with participation by our funding partners in accordance with the Funding Partners Oversight Protocol. A summary of funding partner meetings and invitees can be found in Appendix B.

This section of the report provides a summary of the discussions and decisions made at the meetings and a list of funding partners who attended the meetings.

Electrification – Weekly Discipline-Specific Meetings

Purpose: To replace the previous weekly Engineering Meeting with three discipline-specific meetings for the three major categories of work under the Electrification Design Build (DB) contract: Overhead Contact System (OCS) Foundation, Traction Power Facilities (TPF), and Signals. Each meeting will focus on the status, resolution and tracking of Balfour Beatty Infrastructure, Inc. (BBII) and Electrification design- and construction-related issues.

Activity this Month

OCS Foundation Meeting

Funding Partners: None

- Review of upcoming foundation design and installation schedule
- Discussion of open issues impacting foundations design and installation
- Discussion of outstanding Requests for Information (RFI)
- Review of foundation designs that potentially impact Right of Way (ROW)
- Review of outstanding Field Orders or Change Notices required for work to continue

TPF Meeting

Funding Partners: None

- Review of outstanding items as they relate to the design and construction of the PG&E Interconnection
- Review of status of long-lead material procurement
- Review of PG&E Interconnection schedule
- Discuss progress and next steps for the Single-Phase Study
- Discuss outstanding comments on the interconnection agreement
- Review and resolve open issues on the construction and design of the TPFs (paralleling stations, traction power substations, switching station)

Signal Meeting

Funding Partners: None

- Discussion of design, installation and testing of the signal and communication modifications to the Caltrain system
- Discussion of outstanding comments and responses to comments on signal and communication design packages
- Review of schedule for signal and communication cutover plans
- Discuss and resolve RFIs

PCEP Delivery Coordination Meeting – Bi-Weekly

Purpose: To facilitate high-level coordination and information sharing between cross-functional groups regarding the status of the work for which they are responsible.

Activity this Month

Funding Partners: SFCTA: Luis Zurinaga; MTC: Trish Stoops; VTA: Franklin Wong and Dennis Ratcliffe

The Project Management Oversight Consultant (PMOC) monitoring visit occurred virtually on September 24. The next Federal Transit Administration (FTA) Quarterly Update has been scheduled for October 29. The PCEP update to the San Francisco County Transportation Authority (SFCTA) Board has been rescheduled to September 22. The CalMod Virtual Reality (VR) Experience will be launched on October 1 and be made available to the public through the CalMod website at CalMod.org/VR and will include various social media games and giveaways. In Contracts and Procurement, there will be a request for quotes for the Scissor Lift Work Platforms out the first week of October, which are anticipated to be received by the end of October. In EMU testing and manufacturing, a mock final inspection of Trainset 1 was conducted by LTK and Stadler to identify and resolve any complications that may occur and to establish a precedence for future trainset final inspections. Trainset 1 delivery to Pueblo has been pushed to early January and Trainset 3 is on track to be delivered onsite in April. Stadler has proposed a concept redesign of the Federal Railroad Administration (FRA) requested bike car barriers, and it is currently with Caltrain for consideration. For CEMOF, the parts storage warehouse building has been installed, and work on the lighting and interior is ongoing. The completion date for CEMOF is anticipated for December 2020. For Design Build activities, foundations are anticipated to be complete in Segments 3 and 4 by the end of October, and crews are scheduled to mobilize to CEMOF by the end of November. VTA has granted JPB access for potholing. Staking/potholing at Traction Power Substation (TPS) TPS-2 for the overhead structures is complete. The Factory Acceptance Test (FAT) for SCADA is currently on hold while the commercial issues for the items identified in the pre-FAT are resolved. Neta Testing completed the testing of all tunnels on September 14, and substantial completion for the Tunnel Modification Project is anticipated by end of September.

Systems Integration Meeting – Bi-Weekly

Purpose: To discuss and resolve issues with inter-system interfaces and to identify and assign Action Item Owners for interface points that have yet to be addressed.

Activity this Month

Funding Partners: Trish Stoops – Metropolitan Transportation Commission

Bi-weekly PCEP System Integration meetings are held to monitor and determine appropriate resolution for systems integration issues. The Systems Integration Lead also maintains contact with the EMU procurement team. The Traction Power SCADA team also holds bi-weekly status meetings. Coordination with the EMU procurement, Positive Train Control (PTC) and Caltrain Capital Project managers responsible for delivery of the 25th Avenue Grade Separation Project, Marin Napoleon Bridge Rehabilitation Project, and the South San Francisco Station Project is ongoing. Discussions have started regarding an upcoming capital project to replace the Guadalupe River Bridge. There is coordination with the Tunnel Modification Project, PG&E construction of the Interconnection to TPS-2, and the CEMOF upgrades as well. Progress on activities including systems integration testing activities, FRA, FTA and safety certification are being tracked. The Systems Integration meeting has been re-focused to track and coordinate issues between PCEP and the overall agency (JPB). This was done to avoid task overlap with the JPB Rail Activation Committee. A smaller “breakout” group is meeting to determine and track what testing and with which resources will need to be coordinated among the various contracts and suppliers. This “Testing and Commissioning Meeting” is the primary interface to the PCEP Design-Build Team at this time. Work to define dependencies for completion of Segment 4 (Intermediate Milestone #1) is ongoing with the Testing & Commissioning discussion. This group will report back to the System Integration meeting group with their findings.

Master Program Schedule (MPS) Meeting – Monthly

Purpose: To review the status of the MPS and discuss the status of major milestones, critical and near-critical paths, upcoming Board review items, and progress with the contracts, among others.

Activity this Month

Funding Partners: Metropolitan Transportation Commission (MTC): Trish Stoops; VTA: Manolo Gonzalez-Estay, SFCTA: Luis Zurinaga

The program critical path remains unchanged and continues to run through the manufacturing and testing of EMU trainsets.

In September 2020, the program schedule was updated to reflect additional delays in BBII’s efforts, as the design and installation of the signal system continues to progress slowly. This has resulted in a further delay to substantial completion of the electrification system. Additionally, BBII is reporting significant delays to delivery of traction power switchgear. These delays are still being examined to better understand impact to substantial completion. JPB is working with BBII on these issues and is urging BBII to accelerate resolution.

Risk Assessment Meeting – Monthly

Purpose: To identify risks and corresponding mitigation measures. For each risk on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at the ongoing risk monitoring and monthly risk assessment meetings.

Activity this Month

Due to the absence of issues requiring review, no meeting was held in September.

Change Management Board (CMB) – Monthly

Purpose: To review, evaluate and authorize proposed changes to PCEP over \$200,000. The CMB discusses major topics including potential changes to PCEP contracts, contingency usage, track access delays and Differing Site Conditions (DSC) field order updates. Potential contract changes will follow the PCEP Change Order Procedure. Once approved changes are executed, they will be reported in the Change Management section (Section 9) of this report.

Activity this Month

The CMB meeting occurred on September 16.

Funding Partners: CHSRA: Boris Lipkin; VTA: Dennis Ratcliffe and Franklin Wong; SFCTA: Luis Zurinaga; SMCTA: Joe Hurley; MTC: Trish Stoops and Kenneth Folan

BBII Contract

One change was approved.

CEMOF Contract

No changes were identified for consideration.

Stadler Contract

No changes were identified for consideration.

SCADA Contract

No changes were identified for consideration.

Tunnel Modification Contract

No changes were identified for consideration.

Amtrak Contract

No changes were identified for consideration.

Other

One change was approved.

2.3. Schedule

The program critical path remains unchanged and continues to run through the manufacturing and testing of EMU trainsets.

In September 2020, the program schedule was updated to reflect additional delays in BBII's efforts, as the design and installation of the signal system continues to progress slowly. This has resulted in a further delay to substantial completion of the electrification system. Additionally, BBII is reporting significant delays to delivery of traction power switchgear. These delays are still being examined to better understand impact to substantial completion. JPB is working with BBII on these issues and is urging BBII to accelerate resolution.

Table 2-1 indicates major milestone dates for the MPS.

Table 2-1 Schedule Status

Milestones	Program Plan	Progress Schedule (September 2020) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	11/25/2020
Arrival of First Vehicle at JPB	N/A	04/30/2021
Segment 4 Completion	11/21/2019	06/30/2021
○ Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	12/24/2020 ²
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	04/22/2022 ²
Start Phased Revenue Service	N/A	04/23/2022 ²
RSD (w/o Risk Contingency)	12/09/2021	07/22/2022
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022

Note:

- ¹. Dates may shift slightly as the update of this month's Progress Schedule is still in process.
- ². See "Notable Variances" in Section 7 for explanation on date shift.

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2.4. Budget

A summary of the overall budget and expenditure status for the PCEP is provided in Table 2-2 below.

Table 2-2 Budget and Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$23,691,867	\$799,895,743	\$516,229,465	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$995,787	\$240,754,366	\$423,372,958	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$24,687,654	\$1,040,650,109	\$939,602,423	\$1,980,252,533

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

2.5. Board Actions

- None

Future anticipated board actions include:

- Change orders for CEMOF fire sprinkler waterline and boosted waterline
- Shunt wire construction

2.6. Government and Community Affairs

There were no outreach event this month.

3.0 ELECTRIFICATION – INFRASTRUCTURE

This section reports on the progress of the Electrification, SCADA, and Tunnel Modification components. A brief description on each of the components is provided below.

3.1. Electrification

The Electrification component of the PCEP includes installation of 138 miles of wire and overhead catenary system (OCS) for the distribution of electrical power to the EMUs. The OCS will be powered from a 25 kilovolt (kV), 60-Hertz, single phase, alternating current supply system consisting of two traction power substations (TPS), one switching station (SWS), and seven paralleling stations (PS). Electrification infrastructure will be constructed using a DB delivery method.

Activity This Month

- Continued to install on-track and off-track foundations in Segments 3 and 4 as conflicts are resolved.
- Installed spread footing foundation in Segment 4.
- Continued installation of OCS poles, cantilevers, and wires in Segment 3 following the foundations.
- Continued installation of shunt wires in Segment 2 and Segment 3.
- Continued installation of off-track foundations in Segment 1.
- Potholed at proposed OCS locations and utility locations in all Segments in advance of foundation installation. BBII and PCEP also continued to resolve conflicts found during the potholing process, such as loose concrete, asphalt, and other debris, and continued designing solutions for those conflicts that cannot be avoided. The conflicts must be resolved before installation of foundations at those locations.
- Relocated signal cables and remove abandoned facilities found in conflict with planned OCS foundations as conflicts were identified.
- Continued installation of transformer pad at PS-5.
- Completed installation of transformer pad and main gantry foundations at PS-2.
- Continued ductbank and auxiliary transformer pad installation at PS-4.
- Continued CMU wall and AC Panel construction at PS-6.
- Continued fence installation at PS-7.
- Continued to install signal ductbank, conduits, and cables in Segment 2.
- Continued to install signal ductbank, conduits, and cables in Segment 4.
- Continued cable installation at Control Point (CP) Mack.
- Continued cable termination at CP Shark.
- Performed pre-testing at multiple sites in Segment 4, including CP Shark.
- Installed fiber optic cable in Segment 4.

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- Continued drilling of rails for impedance bond connections in Segments 1, 2, 3 and 4 at various control points and crossings.
- Performed switch isolation in Segment 1 and Segment 2.
- Install overhead bridge attachments at various locations in Segment 3.
- Progressed the OCS design with BBII in all segments, which included submittal and review of Design Change Notices for revised foundation locations.
- Continued Right of Way acquisition process for off-track foundation installation in Segment 1 and Segment 3.
- Coordinated design review with local jurisdictions for the OCS, traction power facilities, and bridge attachments design, including responses to comments from jurisdictions.
- Continued to review and coordinate signal and communication design submittals with BBII.
- Continued discussions with FRA and CPUC on grade crossing design.
- Continued planning for signal cutovers in Segment 4.
- Continued discussions with VTA on Right of Way acquisition and access for construction of TPS-2 interconnection.
- Performed utility relocation in advance of TPS-2 interconnection.
- Worked with BBII through Site Specific Work Plans (SSWP) for upcoming field work.
- Revised model validation for the single phase study.
- PG&E continued work at East Grand and FMC substations.

A summary of the work progress by segment is provided in Table 3-1 below.

Table 3-1 Work Progress by Segment

Segment	Work Area	Foundations			Poles		
		Required ^{abc}	Completed this Month	Completed to Date ^e	Required ^{ab}	Completed this Month	Completed to Date ^d
1	Tunnels	32	0	32	32	0	32
	A	309	0	0	259	0	0
	B	237	27	36	177	0	0
2	5	236	0	199	209	0	160
	4	314	0	238	254	0	190
	3	176	0	128	141	0	36
	2	247	0	78	205	0	60
	1	207	0	79	154	0	33
3	2	510	4	501	441	45	398
	1	387	3	374	310	0	264
4	A	241	12	206	177	0	112
	B	128	2	110	123	0	86
	CEMOF	96	0	0	81	0	0
Total		3,120	48	1,981	2,563	45	1,371

Note:

- a. Foundations required do not match poles required as guy foundations are needed in some locations for extra support.
- b. Reported number of required poles and foundations fluctuate due to Design changes.
- c. Update: To-date, 20 /30 foundations have been installed by the South San Francisco and 66 have been installed by the 25th Ave projects.
- d. Multiple poles in S3WA2 and S3WA1 were unreported installed in August 2020.
- e. One foundation in S4WAA should have been reported in S4WAB.

Activity Next Month

- Continue off-track foundation installation in Segment 1.
- Continue foundation installation in Segments 3 and 4.
- Continue resolution of DSCs.
- Continue to install protective steel plates for protection of utilities during foundation installation.
- Continue to install OCS poles and assemblies in all Segments where available.
- Continue wire installation in Segments 3 and 4.
- Continue shunt wire installation in Segment 2.
- Continue work with BBII on field investigation activities and designs, which will include the progression of the OCS, traction power, bonding and grounding, signal systems, and other civil infrastructure such as overhead bridge protections.
- Pothole and clear obstructions at proposed OCS locations.
- Continue construction at TPS-1.
- Continue construction at PS-7, PS-5, PS-4, PS-6, PS-2, and the Switching Station.
- Continue to install conduit and foundations for signal and wayside power cubicle (WPC) units in Segment 4 and Segment 2.
- Continue cable termination at signal locations in Segment 4.

- Continue to install impedance bond connections.
- Continue to install bridge attachments.
- Perform signal cutover in Segment 4.
- Continue to coordinate with stakeholders on the consistent warning time solution and advance location-specific design.
- Continue to progress location-specific design for grade crossing system.
- Continue planning process for signal cutovers.
- Review BBII work plans for upcoming construction activities.
- Coordinate with PG&E on final design and construction for PG&E infrastructure.
- Coordinate with local jurisdictions to review designs.
- Continue tree pruning and removals.

3.2. Supervisory Control and Data Acquisition

SCADA is a system that monitors and controls field devices for electrification, including traction power substations (TPS), wayside power cubicles (WPC), and the OCS. SCADA will be integrated with the base operating system for Caltrain Operations and Control, which is the Rail Operations Center System (ROCS). A separate control console will be established for the Power Director.

Activity This Month

- Submitted formal schedule for review and Monthly Progress Report.
- Completed writing SCADA Operations User Manual.
- Completed and submitted a revision of the Installation and Cutover Plan.
- Continued work on Training Plan.
- Continued work on Operations User manual.
- Completed correction of defects found in Pre-Factory Acceptance Testing.

Activity Next Month

- Prepare and deliver the Monthly Report and the Monthly Schedule Update.
- Attend project status meetings (virtually).
- Support ongoing discussions concerning RFIs.
- Complete revisions for Operations User Manual.
- Complete revisions for Training Manual.
- Complete Training Plan.

3.3. Tunnel Modification

Tunnel modifications will be required on the four tunnels located in San Francisco. This effort is needed to accommodate the required clearance for the OCS to support electrification of the corridor. Outside of the PCEP scope, Caltrain Engineering has requested the PCEP team to manage completion of design and construction for the Tunnel 1 and Tunnel 4 Drainage and Track Rehabilitation Project. The Tunnel Drainage and Track Rehabilitation Project is funded separately from PCEP.

Activity This Month

- Letters, submittals, and Requests for Information closeout.
- Change Order reconciliation.
- Completed the OCS testing.

Activity Next Month

- Review and respond to letters.
- Install signage inside all tunnels.
- Punch List items.

3.4. Interconnection Construction

The PCEP will require a 115-kV interconnection to supply power from the PG&E substations to the Caltrain substations in San Jose and South San Francisco. Construction of the interconnections will be performed by PG&E under an amendment to Supplemental Agreement No. 2.

Activity This Month

- FMC – TPS-2:
 - PG&E and JPB working on the easement at VTA and TPS-2 prior to construction.
 - Caltrans permit to cross I-880/remove trees submitted on 9/4.
- EGS – TPS-1:
 - JPB submitted an offer to Britannia.
 - PGE selected Michel's for the OH construction.

Activity Next Month

- FMC – TPS-2:
 - Kick off meeting for the TPS-2 construction is on 10/20.
 - Mobilization scheduled by beginning of November.
- EGS – TPS-1:
 - Continue the Coordination for the TSP pole design with South San Francisco team and JPB planning and development.
Coordinate with developers/Owner at TPS-1 site for staging.

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4.0 ELECTRIC MULTIPLE UNITS

This section reports on the progress of the Electric Multiple Units (EMU) procurement and the Centralized Equipment Maintenance and Operations Facility (CEMOF) modifications.

4.1. Electric Multiple Units

The procurement of EMUs, or trainsets, from Stadler consists of a Base Order of 96 railcars, plus an Option Order of an additional 37 railcars, for a total of 133 railcars. The cars from these two orders will be combined and delivered as 19 seven-car Trainsets. The Base Order is funded from PCEP, and Option Order funded by a Transit and Intercity Rail Capital Program (TIRCP) grant. One more Option for additional cars is available.

Activity This Month

- COVID-19 related actions continued for the seventh month causing mixed disruptions to Stadler's activities:
 - Stadler's manufacturing facilities in Switzerland supporting the Caltrain Project have returned to near normal levels of activity.
 - Stadler's manufacturing facility in Salt Lake City has reverted back to two production shifts in order to limit the number of workers per car. This is due to a recent outbreak of COVID-19 at that facility.
 - The Switzerland-based manufacturing of car shells and trucks frames is on schedule.
 - Salt Lake City-based manufacturing is delayed due to previously incurred and ongoing person-power limitations and sub-supplier parts shortages.
 - Stadler has submitted a request for an 'excusable delay' due to COVID-19. The extent of the continuing delay is being evaluated. Currently, shipping the first trainset to Pueblo, Colorado for testing has been delayed five months to January 2021, and the first trainset to be delivered to Caltrain delayed six weeks to the end of April 2021.
 - Salt Lake City-based 'Type Testing' of Trainset No. 1 continues to be on hold since key Stadler and sub-supplier personnel cannot travel to the United States. The current delay in testing is estimated at one day for each day of COVID-19 travel restrictions. Workarounds have allowed some progress in this area.
 - Stadler has material for about three trainsets, but the disrupted supply chain will likely create shortages and production delays.
- Final Design Reviews remain to be completed for three systems. These software-based systems include 'Train Control,' 'Monitoring and Diagnostics,' and 'PTC.' Completion is scheduled for November 2020 and must be performed prior to the commencement of Type Testing.
- First Article Inspections (FAI) continue to have their paperwork formalized and closed out.
- 49 car shells have been shipped from Stadler Switzerland, with 43 onsite in Stadler's Salt Lake City facility (six in transit).

- Quality Assurance audits of USA-based sub-suppliers were halted in mid-March due to COVID-19 travel restriction. Audits will commence when sub-suppliers reopen and travel restrictions are lifted.
- Stadler's trainset delivery and testing schedule on Caltrain property has been re-baselined.

Activity Next Month

- Continue to close out system level FDRs and FAIs.
- Continue to support Caltrain/PCEP system integration and rail startup activation activities

4.2. Centralized Equipment Maintenance and Operations Facility Modifications

The CEMOF Modifications Project will provide work areas to perform maintenance on new EMUs.

Activity This Month

- Erection of the Parts Storage Warehouse continued.
- Poured the south wall at the south pit.
- Started installation of fire sprinkler line at Parts Storage Warehouse.
- Submitted shoring design and calculations for shallow fire sprinkler line.
- Installed struts and walers for the boosted water line.
- Exposed/excavated around the boosted water line.
- Completed formwork for Stair 72.
- Completed shoring, excavation at Stair 71.
- Completed Industrial Waste Line installation at Stair 71.
- Completed rebar installation for the footing of the north pit and poured the footing at the north pit.

Activity Next Month

- Pour Stair 72 walls.
- Waterproofing of Stair 72 walls.
- Backfill South Pit Walls.
- Set Storm Drain Line A catch basins.
- Install partial Storm Drain Line A.
- Form, waterproof, install rebar and pour stair 71 slab and end wall.
- Backfill north pit footings.
- Install formwork, rebar, U-bolts, and pour wall at north pit.
- Complete Installation of Parts Storage Warehouse building.
- Receive all racks delivery for the Parts Storage Warehouse.

5.0 SAFETY

Safety and Security requirements and plans are necessary to comply with applicable laws and regulations related to safety, security, and emergency response activities. Safety staff coordinates with contractors to review and plan the implementation of contract program safety requirements. Safety project coordination meetings continue to be conducted on a monthly basis to promote a clear understanding of project safety requirements as defined in contract provisions and program safety documents.

Activity This Month

- Project staff provided input and continued its participation in the BBII contractor workforce safety meetings. Project incidents continue to be reviewed with project staff to reinforce the application of recommended safety mitigation measures.
- Conducted 2020 monthly employee injury reviews for BBII and its subcontractors.
- Continued to provide input and oversight of the contractor SSWP safety provisions and ongoing safety construction oversight and inspections.
- Conducted the monthly project Safety and Security Certification and Fire/Life Safety Meetings.
- Performed reviews and provided comments on the BBII Safety and Security Certification Design Criteria Conformance Checklists (DCCC) submittals.
- Participated with internal stakeholders in Rail Activation Committee meetings.
- Investigated project incident occurrences and worked with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.
- Reviewed the status and next steps needed to support compliance to the FTA Oversight Procedure 54 (Readiness for Service) project safety and security requirements.
- Conducted ongoing safety inspections of contractor field activities and performed pre-work site hazards assessment walks with BBII and subcontractor staff.
- Performed hi-rail vehicle safety inspections of contractor on-track equipment.
- Participated in weekly project coordination meetings with the contractor to review open issues and recommended action items.
- Continued to coordinate with JPB Safety and the project contractors with the application of mitigation measures in response to the evolving COVID-19 virus.

Activity Next Month

- Monthly virtual safety communication meetings continue to be scheduled for the Project Safety and Security Certification Committee, Fire/Life Safety Committee, Rail Activation Committee, and other project-related contractor and JPB safety meetings to discuss safety priorities.
- Finalize safety and security certification documentation requirements in coordination with project testing and commissioning activities.
- Continue focus on performing site safety inspections on the OCS foundations, pole installations, potholing, and CEMOF work activities to assess safety work practices and identify additional opportunities for improvement. Conduct contractor equipment inspections as needed.

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- Reinforce the ongoing application of recommended mitigation measures in response to the evolving COVID-19 virus.
- Investigate project incident occurrences as needed and work with the contractor representatives to identify incident root causes and develop and implement safety and security mitigation measures.

6.0 QUALITY ASSURANCE

The Quality Assurance (QA) staff performs technical reviews for planning, implementing, evaluating, and maintaining an effective program to verify that all equipment, structures, components, systems, and facilities are designed, procured, constructed, installed, and maintained in accordance with established criteria and applicable codes and standards throughout the design, construction, startup and commissioning of the PCEP.

Activity This Month

- Staff meetings with BBII QA/Quality Control (QC) management representatives continue weekly.
- Continued review of BBII-generated Nonconformance Reports (NCR) and Construction Discrepancy Reports for proper discrepancy condition, cause, disposition, corrective and preventive action and verification of closure.
- Continued review and approval of Design Variance Requests for BBII and PGH Wong for QA/QC and inspection issues/concerns.
- Continued review of BBII QC Inspectors Daily Reports, Construction QC Reports and Surveillance Reports for work scope, performance of required duties, adequacy, non-conformances, test/inspection results, follow-up on unresolved issues, and preciseness.
- Continued review of BBII Material Receipt Reports, Certificates of Conformance, Certified Tests Reports, and Certificates of Analysis to ensure delivered project materials conform to specifications, and that contractually required quality and test support documents are adequate and reflect concise conditions per the purchase order requirements.
- Continued regularly scheduled design reviews and surveillances on project design packages.
- Conducted 'Buy America' audit of BBII Procurement.
- Conducted Part 2 of Second Shift Field Activities Audit of BBII OCS Assembly and Alignment.

Table 6-1 below provides details on the status of audits performed through the reporting period.

Table 6-1 Quality Assurance Audit Summary

Quality Assurance Activity	This Reporting Period	Total to Date
Audits Conducted	2	124
Audit Findings		
Audit Findings Issued	0	79
Audit Findings Open	0	3
Audit Findings Closed	0	76
Non-Conformances		
Non-Conformances Issued	2	12
Non-Conformances Open	2	3
Non-Conformances Closed	0	9

Activity Next Month

- Conduct field surveillances at TPS-2, 3 and 4.
- Conduct a Part 3 Audit of BBII second shift OCS Poles and Wires Assembly and Alignment
- Conduct three design package audits.

7.0 SCHEDULE

The program critical path remains unchanged and continues to run through the manufacturing and testing of EMU trainsets.

In September 2020, the program schedule was updated to reflect additional delays in BBII’s efforts, as the design and installation of the signal system continues to progress slowly. This has resulted in a further delay to substantial completion of the electrification system. Additionally, BBII is reporting significant delays to delivery of traction power switchgear. These delays are still being examined to better understand impact to substantial completion. JPB is working with BBII on these issues and is urging BBII to accelerate resolution.

Shown below, Table 7-1 indicates major milestone dates for the MPS.

Table 7-1 Schedule Status

Milestones	Program Plan	Progress Schedule (September 2020) ¹
Arrival of First Vehicle in Pueblo, CO	N/A	11/25/2020
Arrival of First Vehicle at JPB	N/A	04/30/2021
Segment 4 Completion	11/21/2019	06/30/2021
○ Interconnection from PG&E Substation to Traction Power Substation (TPS)	N/A	12/24/2020 ²
PG&E Provides Permanent Power	09/09/2021	09/09/2021
Electrification Substantial Completion	08/10/2020	04/22/2022 ²
Start Phased Revenue Service	N/A	04/23/2022 ²
RSD (w/o Risk Contingency)	12/09/2021	07/22/2022
FFGA RSD (w/ Risk Contingency)	08/22/2022	08/22/2022

Note:

¹. Dates may shift slightly as the update of this month’s Progress Schedule is still in process.

². See “Notable Variances” for explanation on date shift.

Notable Variances

BBII continues to report an overall delay to substantial completion. JPB is working with BBII on the issue and is urging BBII to accelerate resolution. As of the end of September, a one month delay is reflected in the MPS to substantial completion of the electrification system due to signal system modification design and installation progressing slower than the progress assumed in the baseline schedule.

Completion of the construction of the interconnection from the PG&E substation to the Traction Power Substation 2 (TPS-2) has been delayed from December 10, 2020 to December 24, 2020 due to delays in commencing with construction. This delay is not expected to impact completion of Segment 4 to support EMU testing.

Table 7-2 Critical Path Summary

Activity	Start	Finish
Manufacturing, Testing & Acceptance of Trainsets 1 - 14	08/13/2018	07/22/2022
RSD w/out Risk Contingency	05/06/2022	07/22/2022
FFGA RSD w/ Risk Contingency	08/22/2022	08/22/2022

Schedule Hold Points

Schedule Hold Points (SHP) represent key milestones on or near a schedule’s critical path that are used as measurement points with respect to contingency drawdown. Delays to these key milestones have the potential to require a program to utilize available contingency. Table 7-3 below reflects the SHPs for the PCEP program schedule. The dates indicated reflect the planned completion dates for each SHP.

Table 7-3 Schedule Hold Points

Schedule Hold Point (SHP)	Date
FTA/PMOC Risk Refresh	08/30/2016 (A)
Begin EMU Manufacturing	12/04/2017 (A)
Arrival of 1 st Trainset in Salt Lake City	02/04/2019 (A)
Arrival of 1 st Trainset in Pueblo, CO	11/25/2020
Arrival of 1 st Trainset at JPB	04/30/2021
Segment 4 Completion	06/30/2021
Conditional Acceptance of 1 st Trainset	12/17/2021
System Electrified	04/22/2022
Begin Phased Revenue Service	04/23/2022
Conditional Acceptance of 14th Trainset	07/22/2022
FFGA RSD w/ Risk Contingency	08/22/2022

Note: “(A)” denotes an actual completion

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8.0 BUDGET AND EXPENDITURES

The summary of overall budget and expenditure status for the PCEP and Third-Party Improvements is shown in the following tables. Table 8-1 reflects the Electrification budget, Table 8-2 the EMU budget, Table 8-3 the overall PCEP budget, and Table 8-4 Third Party Improvements budget. Table 8-5 summarizes the budget transfers of contingency completed this month.

Table 8-1 Electrification Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
ELECTRIFICATION						
Electrification ⁽⁴⁾	\$696,610,558	\$740,548,347	\$16,898,129	\$433,520,005	\$307,028,341	\$740,548,347
SCADA	\$0	\$3,446,917	\$0	\$1,934,371	\$1,512,546	\$3,446,917
Tunnel Modifications	\$11,029,649	\$41,453,871	\$229,503	\$41,298,739	\$155,132	\$41,453,871
Real Estate	\$28,503,369	\$28,503,369	\$55,497	\$22,638,644	\$5,864,725	\$28,503,369
Private Utilities	\$63,515,298	\$117,669,634	\$2,842,598	\$96,868,177	\$20,801,458	\$117,669,634
Management Oversight	\$141,506,257	\$158,145,803	\$1,911,323	\$146,631,283	\$11,514,521	\$158,145,803
Executive Management	\$7,452,866	\$9,568,427	\$114,382	\$8,765,696	\$802,731	\$9,568,427
Planning	\$7,281,997	\$6,281,997	\$2,592	\$5,839,708	\$442,288	\$6,281,997
Community Relations	\$2,789,663	\$1,789,663	\$8,659	\$1,595,692	\$193,971	\$1,789,663
Safety & Security	\$2,421,783	\$4,297,861	\$90,297	\$3,818,660	\$479,200	\$4,297,861
Project Management Services	\$19,807,994	\$17,526,725	\$97,296	\$13,497,017	\$4,029,708	\$17,526,725
Engineering & Construction	\$11,805,793	\$13,310,956	\$185,270	\$11,586,991	\$1,723,965	\$13,310,956
Electrification Eng & Mgmt	\$50,461,707	\$50,461,707	\$382,927	\$50,415,221	\$46,486	\$50,461,707
Construction Management	\$0	\$7,553,100	\$824,943	\$6,467,056	\$1,086,045	\$7,553,100
IT Support	\$312,080	\$407,170	\$0	\$407,170	\$0	\$407,170
Operations Support	\$1,445,867	\$2,879,798	\$31,132	\$2,796,039	\$83,759	\$2,879,798
General Support	\$4,166,577	\$6,963,434	\$76,632	\$5,937,175	\$1,026,259	\$6,963,434
Budget / Grants / Finance	\$1,229,345	\$1,626,354	\$436	\$1,355,573	\$270,780	\$1,626,354
Legal	\$2,445,646	\$4,993,672	\$26,359	\$4,722,193	\$271,479	\$4,993,672
Other Direct Costs	\$5,177,060	\$5,777,060	\$70,399	\$4,719,212	\$1,057,848	\$5,777,060
Prior Costs 2002 - 2013	\$24,707,878	\$24,707,878	\$0	\$24,707,878	\$0	\$24,707,878
TASI Support	\$55,275,084	\$57,475,084	\$1,630,488	\$46,543,449	\$10,931,635	\$57,475,084
Insurance	\$3,500,000	\$4,543,588	\$0	\$4,543,588	\$0	\$4,543,588
Environmental Mitigations	\$15,798,320	\$14,754,390	\$0	\$806,777	\$13,947,614	\$14,754,390
Required Projects	\$17,337,378	\$11,007,576	\$3,836	\$962,988	\$10,044,588	\$11,007,576
Maintenance Training	\$1,021,808	\$1,021,808	\$0	\$0	\$1,021,808	\$1,021,808
Finance Charges	\$5,056,838	\$6,137,156	\$120,493	\$4,147,722	\$1,989,434	\$6,137,156
Contingency	\$276,970,649	\$131,417,664	N/A	N/A	\$56,130,428	\$56,130,428
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$75,287,236	\$75,287,236
ELECTRIFICATION SUBTOTAL	\$1,316,125,208	\$1,316,125,208	\$23,691,867	\$799,895,743	\$516,229,465	\$1,316,125,208

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.
4. Cost To Date for "Electrification" includes 5% for Contractor's retention until authorization of retention release.

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Table 8-2 EMU Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
EMU						
EMU	\$550,899,459	\$555,292,618	\$0	\$186,021,642	\$369,270,976	\$555,292,618
CEMOF Modifications	\$1,344,000	\$6,849,335	\$277,186	\$4,517,162	\$2,332,173	\$6,849,335
Management Oversight	\$64,139,103	\$61,869,311	\$621,222	\$46,838,494	\$15,030,817	\$61,869,311
Executive Management	\$5,022,302	\$6,263,136	\$56,533	\$5,387,839	\$875,297	\$6,263,136
Community Relations	\$1,685,614	\$985,614	\$5,307	\$665,369	\$320,245	\$985,614
Safety & Security	\$556,067	\$766,796	\$16,945	\$626,666	\$140,130	\$766,796
Project Mgmt Services	\$13,275,280	\$11,275,280	\$59,633	\$8,720,711	\$2,554,569	\$11,275,280
Eng & Construction	\$89,113	\$89,113	\$0	\$23,817	\$65,296	\$89,113
EMU Eng & Mgmt	\$32,082,556	\$29,981,014	\$294,591	\$21,780,328	\$8,200,686	\$29,981,014
Construction Management	\$0	\$1,501,543	\$97,379	\$981,745	\$519,798	\$1,501,543
IT Support	\$1,027,272	\$952,089	\$12,694	\$678,594	\$273,495	\$952,089
Operations Support	\$1,878,589	\$781,858	\$8,624	\$425,500	\$356,358	\$781,858
General Support	\$2,599,547	\$2,934,702	\$24,473	\$2,546,819	\$387,883	\$2,934,702
Budget / Grants / Finance	\$712,123	\$1,042,274	(\$0)	\$900,129	\$142,146	\$1,042,274
Legal	\$1,207,500	\$1,292,752	\$2,647	\$1,241,064	\$51,688	\$1,292,752
Other Direct Costs	\$4,003,139	\$4,003,139	\$42,397	\$2,859,913	\$1,143,226	\$4,003,139
TASI Support	\$2,740,000	\$2,789,493	\$23,528	\$258,373	\$2,531,120	\$2,789,493
Insurance	\$0	\$38,263	\$0	\$38,263	\$0	\$38,263
Required Projects	\$4,500,000	\$927,821	\$0	\$538,280	\$389,541	\$927,821
Finance Charges	\$1,941,800	\$3,761,482	\$73,851	\$2,542,152	\$1,219,330	\$3,761,482
Contingency	\$38,562,962	\$32,599,002	N/A	N/A	\$29,427,352	\$29,427,352
Forecasted Costs and Changes	\$0	\$0	N/A	N/A	\$3,171,650	\$3,171,650
EMU SUBTOTAL	\$664,127,325	\$664,127,325	\$995,787	\$240,754,366	\$423,372,958	\$664,127,325

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

Table 8-3 PCEP Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
Electrification Subtotal	\$1,316,125,208	\$1,316,125,208	\$23,691,867	\$799,895,743	\$516,229,465	\$1,316,125,208
EMU Subtotal	\$664,127,325	\$664,127,325	\$995,787	\$240,754,366	\$423,372,958	\$664,127,325
PCEP TOTAL	\$1,980,252,533	\$1,980,252,533	\$24,687,654	\$1,040,650,109	\$939,602,423	\$1,980,252,533

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work performed this month.
3. Column D "Cost To Date" includes actuals (amount paid) and accruals (amount of work performed) to date.

Table 8-4 Third Party Improvements/CNPA Budget & Expenditure Status

Description of Work	Budget (A)	Current Budget (B) ¹	Cost This Month (C) ²	Cost To Date (D) ³	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
CHSRA Early Pole Relocation	\$1,000,000	\$941,706	\$0	\$941,706	\$0	\$941,706
PS-3 Relocation (Design)	\$500,000	\$500,000	\$0	\$150,000	\$350,000	\$500,000
PS-3 Relocation (FEMA, BGSP Design Coord.)	\$50,000	\$50,000	\$0	\$0	\$50,000	\$50,000
TPSS-2 VTA/PCEP Pole Relocation (Design)	\$110,000	\$110,000	\$0	\$110,000	\$0	\$110,000
TPSS-2 VTA/PCEP Pole Height (Redesign)	\$31,000	\$31,000	\$0	\$27,900	\$3,100	\$31,000
EMU Option Cars	\$172,800,047	\$172,800,047	\$0	\$55,158,731	\$117,641,316	\$172,800,047
Add Flip-Up Seats into Bike Cars	\$1,961,350	\$1,961,350	\$0	\$980,675	\$980,675	\$1,961,350
Update Virtual Reality Experience	\$43,000	\$43,000	\$0	\$0	\$43,000	\$43,000
CNPA TOTAL	\$176,495,397	\$176,437,103	\$0	\$57,369,012	\$119,068,091	\$176,437,103

Notes regarding tables above:

1. Column B "Current Budget" includes executed change orders and awarded contracts.
2. Column C "Cost This Month" represents the cost of work paid this month.
3. Column D "Cost To Date" includes actuals (amount paid) to date.

Table 8-4 shows improvements outside of the scope of PCEP that are funded with non-PCEP funds. These improvements are implemented through the PCEP contracts. In FTA terminology, these efforts are categorized as Concurrent Non-Project Activities (CNPA).

CHSRA Early Pole Relocation: Relocation of 196 OCS poles as part of PCEP. Implementing these pole relocations minimizes future cost and construction impacts. This scope is funded by the CHSRA.

PS-3 Relocation (Design): Relocate PS-3 (Burlingame) as part of PCEP to avoid a future conflict with the Broadway Grade Separation Project (BGSP). This scope is funded by the BGSP.

PS-3 Relocation (FEMA, BGSP Design Coord.): PS-3 Relocation FEMA Update and Design Coordination: Perform incremental design effort related to the 2019 FEMA requirement update to the flood plain map and design coordination with the BGSP. This scope is funded by the BGSP.

TPSS-2 VTA/PCEP Pole Relocation and Height (Design): Design changes due to the relocation of VTA/BART Pole at TPSS-2 location and pole height redesign for live line clearances. This scope is funded by the VTA.

EMU Option Cars: Exercise Stadler Contract Option for 37 additional EMUs. This scope is funded with a combination of TIRCP and matching local funds.

Add Flip-Up Seats into Bike Cars: Stadler contract change order to add four additional flip-up seats in each of the two unpowered (bike) cars per trainset (eight total per trainset). This scope is funded by Caltrain outside of the PCEP.

Update Virtual Reality Experience: Stadler contract change order to update the virtual reality experience to reflect the latest configuration of the trainsets. This scope is funded by Caltrain outside of the PCEP.

Table 8-5 Budget Transfers of Contingency

Transfer	Description	Contingency¹
ELECTRIFICATION		
BBI-053-CCO-100	Remove Tree Stump at 46.4-02	\$1,459
BBI-053-CCO-025F	OCS Shunt Wire (Construction)	\$9,500,000
BBI-053-CCO-126	Track Access Delays - 2019 Quarter 3 – OCS Foundations	\$81,223
BBI-053-CCO-127	Track Access Delays – 2019 Quarter 4 – OCS Foundations	\$147,223
BBI-053-CCO-051	CEMOF Yard OCS Changes (Design Only)	\$210,300
BT-009B	Design Build (DB) Contractor Incentive Savings from Excess Approved Budget	(\$2,850,000)
BT-034	Budget Savings related to Electric Locomotives	(\$3,000,000)
	ELECTRIFICATION SUBTOTAL	\$4,090,204
EMU		
	EMU SUBTOTAL	\$0
	PCEP TOTAL	\$4,090,204

Notes regarding tables above:

¹. Budget amount transferred from project contingency. A negative amount represents a credit to contingency.

Table 8-5 shows budget transfers of project contingency implemented during the current monthly reporting period. This table includes contingency transfers for both executed contract change orders as covered under Section 9.0 and uses of contingency for Program budget line items outside the five PCEP contracts.

Appendix D includes costs broken down by Standard Cost Code (SCC) format. This format is required for reporting of costs to the FTA. The overall project total in the SCC format is lower than the project costs in table 8-3. This is due to the exclusion of costs incurred prior to the project entering the Project Development phase.

9.0 CHANGE MANAGEMENT

The change management process establishes a formal administrative work process associated with the initiation, documentation, coordination, review, approval and implementation of changes that occur during the design, construction or manufacturing of the PCEP. The change management process accounts for impacts of the changes and ensures prudent use of contingency.

Currently the PCEP contracts are BBII, CEMOF, Stadler, SCADA, Tunnel Modifications, and Amtrak.

A log of all executed change orders can be found in Appendix E.

Executed Contract Change Orders (CCO) This Month

Electrification Contract

Change Order Authority (5% of BBII Contract) 5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount
9/10/2020	BBI-053-CCO-025F	OCS Shunt Wire (Construction) ¹	\$9,500,000
9/11/2020	BBI-053-CCO-126	Track Access Delays - 2019 Quarter 3 – OCS Foundations	\$81,223
9/24/2020	BBI-053-CCO-127	Track Access Delays – 2019 Quarter 4 – OCS Foundations	\$147,223
9/21/2020	BBI-053-CCO-051	CEMOF Yard OCS Changes (Design Only)	\$210,300
9/21/2020	BBI-053-CCO-074	Underground Utilities Clearance	\$0
Total			\$9,938,746

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

EMU Contract

Change Order Authority (5% of Stadler Contract) 5% x \$550,899,459 = \$27,544,973

Date	Change Number	Description	CCO Amount
9/14/2020	STA-056-CCO-027	EMU Liquidated Damages, and Delivery and Testing Schedule Modifications	\$0
Total			\$0

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

SCADA Contract

Change Order Authority (15% of ARINC Contract) 15% x \$3,446,917 = \$517,038

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

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Tunnel Modification Contract

Change Order Authority (10% of ProVen Contract)² 10% x \$38,477,777 = \$3,847,778

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

² Tunnel modification contract (\$38,477,777) includes: Notching (\$25,281,170) and Drainage (\$13,196,607).

³ Third Party Improvements/CNPA Projects that are funded with non-PCEP funds.

CEMOF Contract

Change Order Authority (10% of ProVen Contract) 10% x \$6,550,777 = \$655,078

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

¹ (When indicated) Change approved by the Board of Directors – not counted against the Executive Director’s Change Order Authority.

Amtrak AEM-7 Contract

Change Order Authority (Lump Sum) Up to \$150,000

Date	Change Number	Description	CCO Amount
	None		\$0
Total			\$0

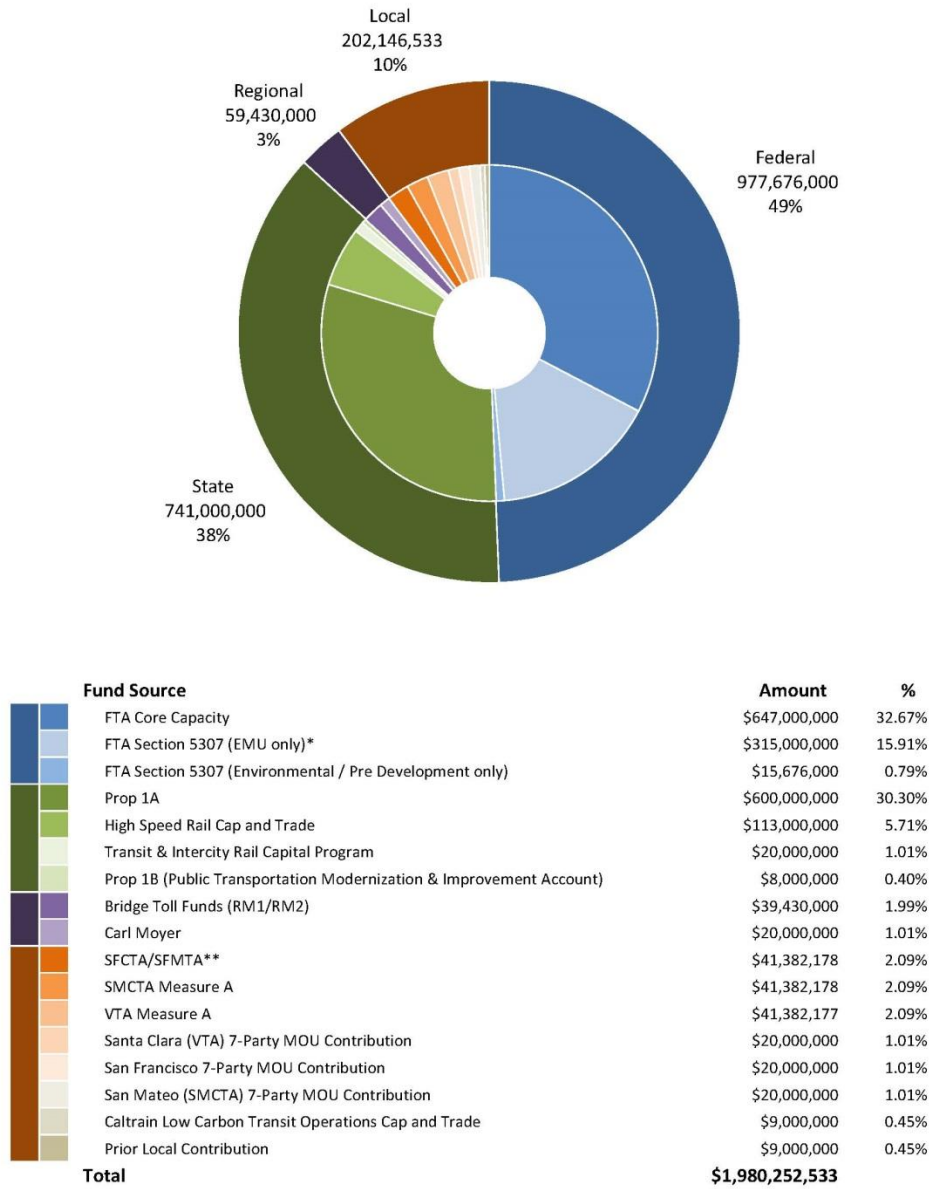
Notes:

¹ When the threshold of 75% is reached, staff may return to the Board to request additional authority.

10.0 FUNDING

Figure 10-1 depicts a summary of the funding plan for the PCEP. It provides a breakdown of the funding partners as well as the allocated funds. As previously noted, FTA awarded \$97 million in Section 5307 funding for the project and the next \$100 million in Core Capacity funding.

Figure 10-1 Funding Plan



Notes:

*Includes necessary fund transfer with SMCTA

**Includes \$4M CMAQ Transfer considered part of SF local contribution

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11.0 RISK MANAGEMENT

The risk management process is conducted in an iterative fashion throughout the life of the project. During this process, new risks are identified, other risks are resolved or managed, and potential impacts and severity modified based on the current situation. The Risk Management team's progress report includes a summary on the effectiveness of the Risk Management Plan, any unanticipated effects, and any correction needed to handle the risk appropriately.

The Risk Management team meets monthly to identify risks and corresponding mitigation measures. Each risk is graded based on the potential cost and schedule impacts they could have on the project. This collection of risks has the greatest potential to affect the outcome of the project and consequently is monitored most closely. For each of the noted risks, as well as for all risks on the risk register, mitigation measures have been identified and are being implemented. Progress in mitigating these risks is confirmed at monthly risk assessment meetings attended by project team management and through continuous monitoring of the Risk Management Lead.

The team has identified the following items as top risks for the project (see Appendix F for the complete Risk Table):

1. The contractor may not complete and install signal design including two-speed check (2SC) modifications within budget and schedule.
2. Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.
3. Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies.
4. Property acquisition not complete per contractor availability date.
5. Additional property acquisition is necessitated by change in design.
6. TASI may not have sufficient number of signal maintainers for testing.
7. Contractor generates hazardous materials that necessitate proper removal and disposal in excess of contract allowances and expectations.
8. Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.

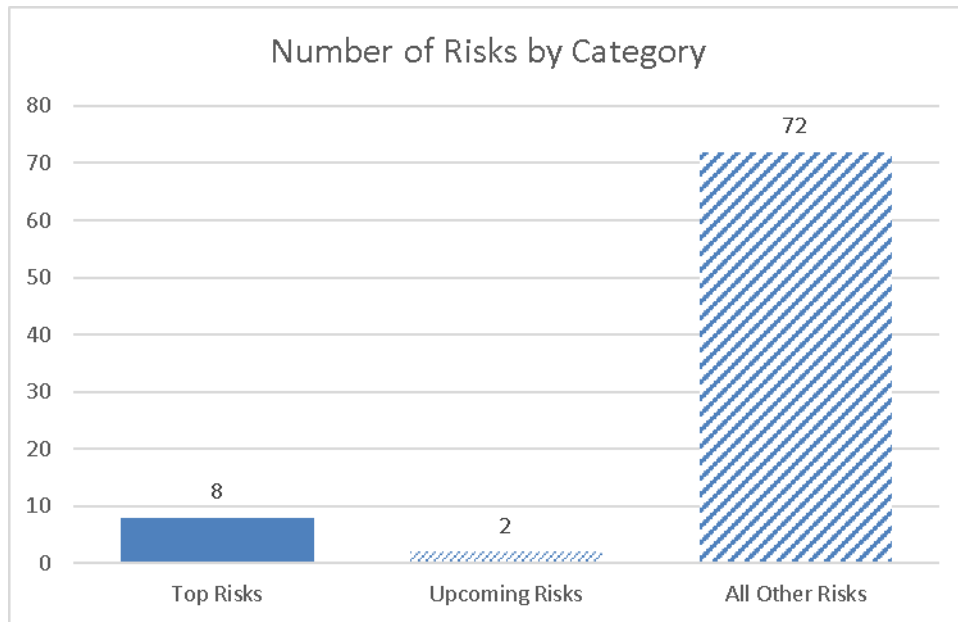
Activity This Month

- Updated risk descriptions, effects, and mitigations based upon weekly input from risk owners. Monthly cycle of risk updating was completed based on schedules established in the Risk Identification and Mitigation Plan.
- Updated risk retirement dates based upon revisions to the project schedule and input from risk owners.
- Continued weekly monitoring of risk mitigation actions and publishing of the risk register.
- Continued monitoring of issues on issues log for determination of new risks.

- The Risk Management team attended Project Delivery, Vehicle Design, and Systems Integration meetings to monitor developments associated with risks and to identify new risks.

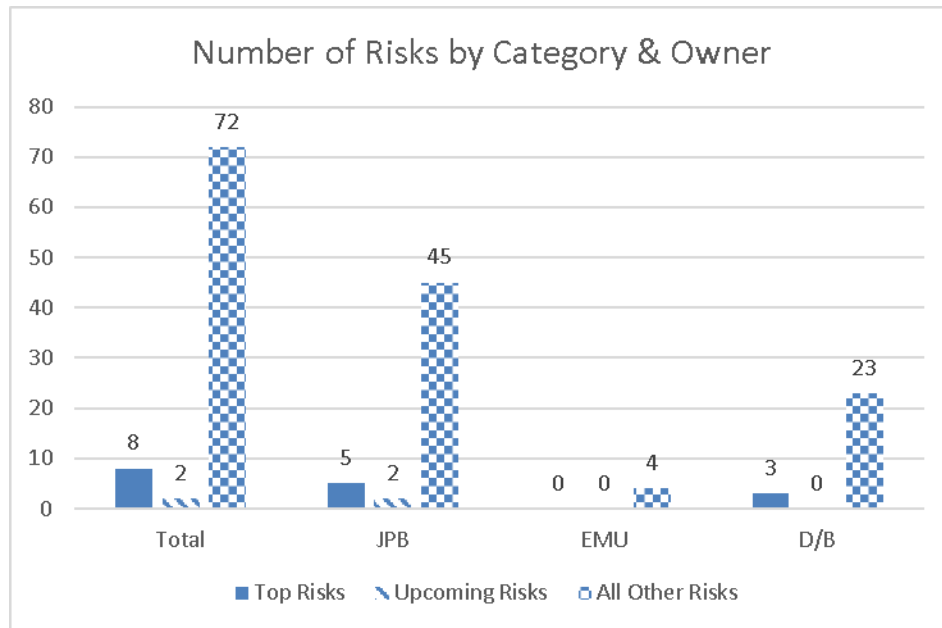
Figures 11-1 and 11-2 show the risks identified for the program. Risks are categorized as top risk, upcoming risk, and all other risks. The categories are based on a rating scale composed of schedule and cost factors. Top risks are considered to have a significantly higher than average risk grade. Upcoming risks are risks for which mitigating action must be taken within 60 days. All other risks are risks not falling into other categories.

Figure 11-1 Monthly Status of Risks



Total Number of Active Risks = 82

Figure 11-2 Risk Classification



Total Number of Active Risks = 82

Activity Next Month

- Conduct weekly monitoring of risk mitigation actions and continue publishing risk register.
- Update risk descriptions, effects, mitigations and retirement dates based on weekly monitoring and attendance at key project meetings.
- Monitor issues on issues log for determination of potential new risks.
- Convene Risk Assessment Committee meeting.

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12.0 ENVIRONMENTAL

12.1. Permits

The PCEP has obtained the required environmental permits from the following agencies/federal regulations: Section 106 of the National Historic Preservation Act of 1966 (NHPA), Section 7 of the Endangered Species Act (ESA), United States Army Corps of Engineers, San Francisco Bay Regional Water Quality Control Board (SFWQCB), the California Department of Fish and Wildlife, and the San Francisco Bay Conservation Development Commission.

Activity This Month

- None

Activity Next Month

- None

12.2. Mitigation Monitoring and Reporting Program (MMRP)

The California Environmental Quality Act (CEQA) requires that a Lead Agency establish a program to monitor and report on mitigation measures that it has adopted as part of the environmental review process. The PCEP team has prepared a MMRP to ensure that mitigation measures identified in the PCEP Environmental Impact Report are fully implemented during project implementation. PCEP will implement the mitigation measures through its own actions, those of the DB contractor and actions taken in cooperation with other agencies and entities. The status of each mitigation measure in the MMRP is included in Appendix G.

Activity This Month

- Environmental compliance monitors were present during project activities (OCS pole foundation installation, potholing for utility location, tree trimming/removal, conduit and fiber optic cable installation, abandoned signal cable removal, etc.) occurring in areas that required environmental compliance monitoring. The monitoring was conducted in accordance with measures in the MMRP in an effort to minimize potential impacts on sensitive environmental resources.
- Noise and vibration monitoring also occurred during project activities, and non-hazardous soil was removed from the right of way (ROW).
- Environmentally Sensitive Area (ESA) delineation (staking and/or fencing) occurred to delineate jurisdictional waterways and other potentially sensitive areas that should be avoided during upcoming construction activities. Pre-construction nesting bird surveys during the nesting bird season continued through September 15 and then were ceased for the remainder of 2020 (nesting bird season is defined as February 1 through September 15). Pre-construction surveys for sensitive avian species continued at previously identified potential habitat locations. Wildlife exclusion fencing installation and monitoring occurred adjacent to portions of the alignment designated for wildlife exclusion fencing.

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- Best management practices (BMPs) installation and maintenance (e.g., silt fencing, straw wattles with no monofilament netting per wildlife agency permit requirements, soil covers, etc.) occurred at equipment staging areas and other work areas throughout the alignment in accordance with the project-specific Stormwater Pollution Prevention Plan (SWPPP).

Activity Next Month

- Environmental compliance monitors will continue to monitor project activities (OCS pole foundation installation, pot holing for utility location, tree trimming/removal, conduit installation, abandoned signal cable removal, permanent fence installation, fiber optic cable installation, gantry setting at PS-5 and PS-7, etc.) occurring in areas that require environmental compliance monitoring in an effort to minimize potential impacts on sensitive environmental resources in accordance with the MMRP.
- Noise and vibration monitoring of project activities will continue to occur and non-hazardous soil will continue to be removed.
- Biological surveyors will continue to conduct pre-construction surveys for sensitive wildlife species ahead of project activities. Pre-construction nesting bird surveys during the nesting bird season will continue (nesting bird season is defined as February 1 through September 15).
- BMPs installation will continue in accordance with the project-specific SWPPP, and ESA staking and fencing will continue to occur, to delineate jurisdictional waterways, and other potentially sensitive areas, that should be avoided during upcoming project activities.
- Wildlife exclusion fencing will continue to be installed and maintained prior to upcoming construction activities adjacent to potentially suitable habitat for sensitive wildlife species.

13.0 UTILITY RELOCATION

Implementation of the PCEP requires relocation or rerouting of both public and private utility lines and/or facilities. Utility relocation will require coordination with many entities, including regulatory agencies, public safety agencies, federal, state, and local government agencies, private and public utilities, and other transportation agencies and companies. This section describes the progress specific to the utility relocation process.

Activity This Month

- Conducted utility coordination meeting to discuss overall status and areas of potential concern from the utilities.

Activity Next Month

- Coordinate with individual utility owners on the next steps of relocations, including support of any required design information.
- Update the relocation schedule as information becomes available from the utility owners.
- Continue to review relocation design from Palo Alto Power, and communications companies and coordinate relocation field work.
- Continue communication relocations in all Segments.
- Review SSWPs by Palo Alto Power for relocation work in Segment 3. Continue Palo Alto Power relocations in Segment 3.

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14.0 REAL ESTATE

The PCEP requires the acquisition of a limited amount of real estate. In general, Caltrain uses existing Right of Way (ROW) for the PCEP, but in certain locations, will need to acquire small portions of additional real estate to expand the ROW to accommodate installation of OCS supports (fee acquisitions or railroad easements) and associated Electrical Safety Zones (ESZ) (easements). There are two larger full acquisition areas required for wayside facilities. The PCEP Real Estate team manages the acquisition of all property rights. Caltrain does not need to acquire real estate to complete the EMU procurement portion of the PCEP.

Of the parcels identified at the beginning of the project, there remain only five owners from whom the agency requires possession.

The Real Estate team's current focus is working to identify new parcels and acquire them in conjunction with the project schedule.

- Staff has defined a process to ensure that BBII conveys new property needs (both for poles and for overhead wires) as soon as possible.
 - BBII must justify and JPB must approve all new parcels.
- Design needs to progress to enable BBII to identify exact acquisition areas.
- Staff is conducting pre-acquisition activities as appropriate.
- JPB has approved eight new parcels to date.

Activity This Month

- Staff continues to review potential new pole locations and is engaging in a system-wide review of potential ESZ needs. Staff continues to meet with the internal signal team and BBII signal team to determine potential Real Estate interests.
- The project is building a fence and moving light poles on the PG&E Cinnabar property to clear foundation locations. Staff has negotiated access with PGE pending completion of the fence and lighting work and drafted legal documents for possession.

Activity Next Month

- Continued review of ESZ needs submitted by BBII compared to direction from contract.
- Continue to work with property owner on Phan parcel to close escrow.
- Complete Marchese appraisal.
- File "friendly" condemnation action to get possession of PG&E Cinnabar site.
- Continue to meet with internal signal team and BBII signal team to determine potential Real Estate needs.
- Make offers on the parcel for which appraisals have been completed.
- Continue to work with project team to identify and analyze new potential parcels.
- Map newly identified parcels.

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15.0 THIRD PARTY AGREEMENTS

Third-party coordination is necessary for work impacting public infrastructure, utilities, ROW acquisitions, and others. Table 15-1 below outlines the status of necessary agreements for the PCEP.

Table 15-1 Third-Party Agreement Status

Type	Agreement	Third-Party	Status
Governmental Jurisdictions	Construction & Maintenance ¹	City & County of San Francisco	Executed
		City of Brisbane	Executed
		City of South San Francisco	Executed
		City of San Bruno	Executed
		City of Millbrae	Executed
		City of Burlingame	Executed
		City of San Mateo	Executed
		City of Belmont	Executed
		City of San Carlos	Executed
		City of Redwood City	Executed
		City of Atherton	In Process
		County of San Mateo	Executed
		City of Menlo Park	Executed
		City of Palo Alto	Executed
		City of Mountain View	Executed
		City of Sunnyvale	Executed
		City of Santa Clara	Executed
	County of Santa Clara	Executed	
	City of San Jose	Executed	
Condemnation Authority	San Francisco	In Process	
	San Mateo	Executed	
	Santa Clara	Executed	
Utilities	Infrastructure	PG&E	Executed
	Operating Rules	CPUC	Executed
Transportation & Railroad	Construction & Maintenance	Bay Area Rapid Transit	Executed ²
	Construction & Maintenance	California Dept. of Transportation (Caltrans)	Not needed ³
	Trackage Rights	UPRR	Executed ²

Notes regarding table above:

1. Agreements memorialize the parties' consultation and cooperation, designate respective rights and obligations and ensure cooperation between the JPB and the 17 cities and three counties along the Caltrain ROW and within the PCEP limits in connection with the design and construction of the PCEP.
2. Utilizing existing agreements.
3. Caltrans Peer Process utilized. Formal agreement not needed.

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16.0 GOVERNMENT AND COMMUNITY AFFAIRS

The Community Relations and Outreach team coordinates all issues with all jurisdictions, partner agencies, government organizations, businesses, labor organizations, local agencies, residents, community members, other interested parties, and the media. In addition, the team oversees the BBII's effectiveness in implementing its Public Involvement Program.

Presentations/Meetings

- None

Third Party/Stakeholder Actions

- None

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17.0 DISADVANTAGED BUSINESS ENTERPRISE (DBE) PARTICIPATION AND LABOR STATISTICS

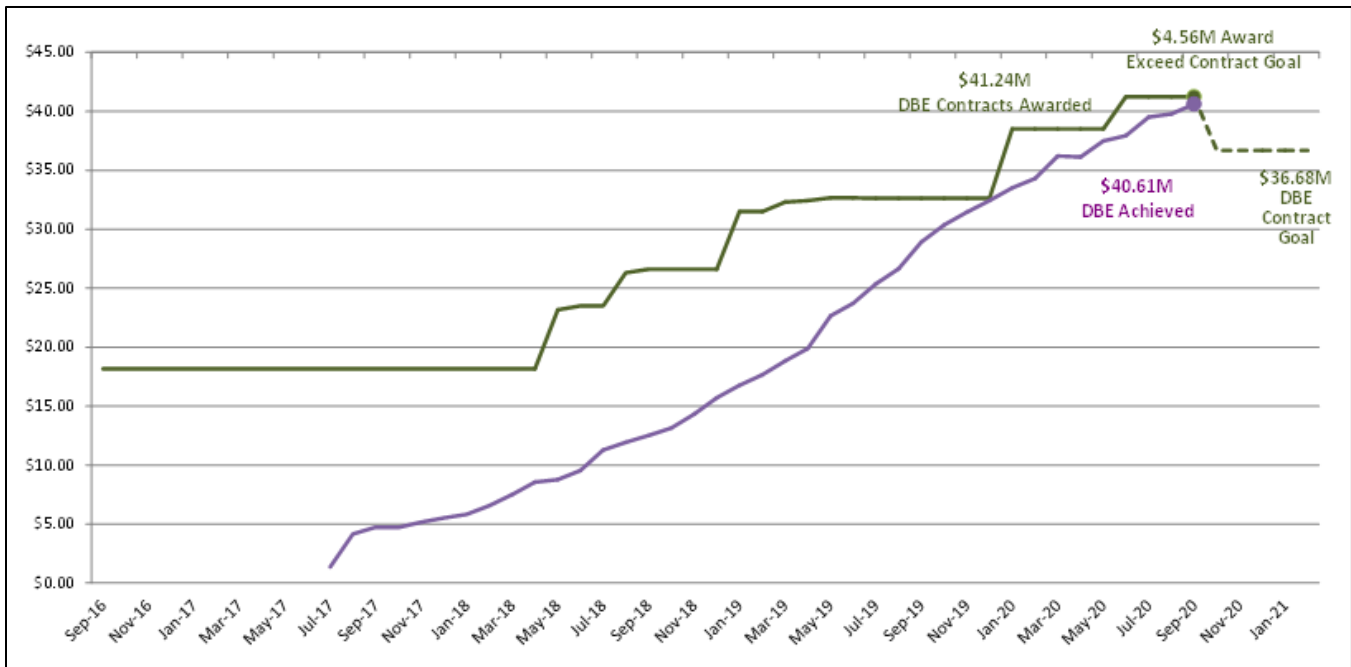
BBII proposed that 5.2% (\$36,681,279) of the DB base contract value including DBE contract change orders (\$705,409,217) would be subcontracted to DBEs.

Activity This Month

As expressed in Figure 17-1 below, to date BBII reports:

- **\$40,607,577** has been paid to DBE subcontractors.
- **\$41,242,326** million of DBE contracts have been awarded (to be verified).
- **5.76%** has been achieved.

Figure 17-1 DBE Participation



Activity Next Month

BBII has proposed the following key actions:

“In the month of October, 2020, we continue to anticipate increasing our DBE commitments to firms who we are currently negotiating pricing on proposed work or Professional Services Agreements. We are optimistic about the prospect of making future awards to DBE firms. We also anticipate that the existing project work will increase resulting in expanded work for current DBE subcontractors.”

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18.0 PROCUREMENT

Invitation for Bids (IFB)/Request for Quotes (RFQ)/ Request for Proposals (RFP) Issued this Month:

- None

Bids, Quotes, Proposals in Response to IFB/RFQ/RFP Received this Month:

- None

Contract Awards this Month:

- None

Work Directive (WD)/Purchase Order (PO) Awards & Amendments this Month:

- Multiple WDs & POs issued to support the program needs

In Process IFB/RFQ/RFP/Contract Amendments:

- RFQ – Scissor Lift Work Platform

Upcoming Contract Awards/Contract Amendments:

- None

Upcoming IFB/RFQ/RFP to be Issued:

- None

Existing Contracts Amendments Issued:

- None

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19.0 TIMELINE OF MAJOR PROJECT ACCOMPLISHMENTS

Below is a timeline showing major project accomplishments from 2001 to 2017:

Date	Milestone
2001	Began federal National Environmental Policy Act (NEPA) Environmental Assessment (EA) / state EIR clearance process
2002	Conceptual Design completed
2004	Draft NEPA EA/EIR
2008	35% design complete
2009	Final NEPA EA/EIR and Finding of No Significant Impact (FONSI)
2014	RFQ for electrification RFI for EMU
2015	JPB approves final CEQA EIR JPB approves issuance of RFP for electrification JPB approves issuance of RFP for EMU Receipt of proposal for electrification FTA approval of Core Capacity Project Development
2016	JPB approves EIR Addendum #1: PS-7 FTA re-evaluation of 2009 FONSI Receipt of electrification best and final offers Receipt of EMU proposal Application for entry to engineering to FTA Completed the EMU Buy America Pre-Award Audit and Certification Negotiations completed with Stadler for EMU vehicles Negotiations completed with BBII, the apparent best-value electrification firm JPB approves contract award (LNTP) to BBII JPB approves contract award (LNTP) to Stadler FTA approval of entry into engineering for the Core Capacity Program Application for FFGA
2017	FTA finalized the FFGA for \$647 million in Core Capacity funding, met all regulatory requirements including end of Congressional Review Period (February) FTA FFGA executed, committing \$647 million to the project (May) JPB approves \$1.98 billion budget for PCEP (June) Issued NTP for EMUs to Stadler (June 1) Issued NTP for electrification contract to BBII (June 19) Construction began (August) EMU manufacturing began (October) Issued NTP for SCADA to Rockwell Collins (ARINC) (October) Issued NTP for CEMOF Facility Upgrades to HNTB (November)

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Date	Milestone
2018	Completed all PG&E agreements JPB approves contract award to Mitsui for the purchase of electric locomotives and Amtrak for overhaul services, storage, acceptance testing, training, and shipment of locomotive to CEMOF JPB approves authorization for the Executive Director to negotiate final contract award to ProVen for tunnel modifications and track rehabilitation project JPB approves contract award (LNTP) to ProVen for tunnel modifications Issued NTP to ProVen for tunnel modifications (October) Amended contract with ProVen to include OCS in the tunnels (November)
2019	JPB approves contract award to ProVen for CEMOF modifications (February) JPB approves LNTP to ProVen for CEMOF modifications (April) JPB approves NTP to ProVen for CEMOF modifications (September)
2020	JPB approves agreement amendment to PG&E for interconnection construction JPB executes agreement with PG&E for interconnection construction (May) FRA approved the waiver for Alternative Vehicle Technology regarding crashworthiness of EMU cars.

APPENDICES

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Appendix A – Acronyms

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**Peninsula Corridor Electrification Project
Monthly Progress Report**

AIM	Advanced Information Management	EA	Environmental Assessment
ARINC	Aeronautical Radio, Inc.	EAC	Estimate at Completion
BAAQMD	Bay Area Air Quality Management District	EIR	Environmental Impact Report
BBII	Balfour Beatty Infrastructure, Inc.	EOR	Engineer of Record
CAISO	California Independent System Operator	EMU	Electric Multiple Unit
CalMod	Caltrain Modernization Program	ESA	Endangered Species Act
Caltrans	California Department of Transportation	ESA	Environmental Site Assessments
CDFW	California Department of Fish and Wildlife	FAI	First Article Inspection
CEMOF	Centralized Equipment Maintenance and Operations Facility	FEIR	Final Environmental Impact Report
CEQA	California Environmental Quality Act (State)	FNTF	Full Notice to Proceed
CHSRA	California High-Speed Rail Authority	FFGA	Full Funding Grant Agreement
CIP	Capital Improvement Plan	FONSI	Finding of No Significant Impact
CNPA	Concurrent Non-Project Activity	FRA	Federal Railroad Administration
CPUC	California Public Utilities Commission	FTA	Federal Transit Administration
CTC	Centralized Traffic Control	GO	General Order
DB	Design-Build	HSR	High Speed Rail
DBB	Design-Bid-Build	ICD	Interface Control Document
DBE	Disadvantaged Business Enterprise	IFC	Issued for Construction
DEMP	Design, Engineering, and Management Planning	ITS	Intelligent Transportation System
		JPB	Peninsula Corridor Joint Powers Board
		LNTF	Limited Notice to Proceed

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MMRP	Mitigation, Monitoring, and Reporting Program	RFI	Request for Information
		RFP	Request for Proposals
MOU	Memorandum of Understanding	RFQ	Request for Qualifications
MPS	Master Program Schedule	ROCS	Rail Operations Center System
NCR	Non Conformance Report	ROW	Right of Way
NEPA	National Environmental Policy Act (Federal)	RRP	Railroad Protective Liability
NHPA	National Historic Preservation Act	RSD	Revenue Service Date
NMFS	National Marine Fisheries Service	RWP	Roadway Worker Protection
NTP	Notice to Proceed	SamTrans	San Mateo County Transit District
OCS	Overhead Contact System	SCADA	Supervisory Control and Data Acquisition
PCEP	Peninsula Corridor Electrification Project	SCC	Standard Cost Code
PCJPB	Peninsula Corridor Joint Powers Board	SPUR	San Francisco Bay Area Planning and Urban Research Association
PG&E	Pacific Gas and Electric	SFBCDC	San Francisco Bay Conservation Development Commission
PHA	Preliminary Hazard Analysis	SFCTA	San Francisco County Transportation Authority
PMOC	Project Management Oversight Contractor	SFMTA	San Francisco Municipal Transportation Authority
PS	Paralleling Station	SFRWQCB	San Francisco Regional Water Quality Control Board
PTC	Positive Train Control	SOGR	State of Good Repair
QA	Quality Assurance	SSCP	Safety and Security Certification Plan
QC	Quality Control	SSMP	Safety and Security Management Plan
QMP	Quality Management Plan	SSWP	Site Specific Work Plan
QMS	Quality Management System		
RAMP	Real Estate Acquisition Management Plan		
RE	Real Estate		

SWS	Switching Station
TASI	TransitAmerica Services Inc.
TBD	To Be Determined
TPS	Traction Power Substation
TVA	Threat and Vulnerability Assessment
UPRR	Union Pacific Railroad
USACE	United States Army Corp of Engineers
USFWS	U.S. Fish and Wildlife Service
VTA	Santa Clara Valley Transportation Authority

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Appendix B – Funding Partner Meetings

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Funding Partner Meeting Representatives
Updated July 16, 2020

Agency	CHSRA	MTC	SFCTA/SFMTA/CCSF	SMCTA	VTA
FTA Quarterly Meeting	<ul style="list-style-type: none"> • Boris Lipkin • Simon Whitehorn • Wai Siu (info only) 	<ul style="list-style-type: none"> • Anne Richman 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • April Chan • Peter Skinner 	<ul style="list-style-type: none"> • Jim Lawson
Funding Partners Quarterly Meeting	<ul style="list-style-type: none"> • Boris Lipkin • Simon Whitehorn • John Popoff 	<ul style="list-style-type: none"> • Trish Stoops 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • April Chan • Peter Skinner 	<ul style="list-style-type: none"> • Krishna Davey • Edwin Castillo • Franklin Wong
Funding Oversight (monthly)	<ul style="list-style-type: none"> • Kelly Doyle 	<ul style="list-style-type: none"> • Anne Richman • Kenneth Folan 	<ul style="list-style-type: none"> • Anna LaForte • Maria Lombardo • Luis Zurinaga • Monique Webster • Ariel Espiritu Santo 	<ul style="list-style-type: none"> • April Chan • Peter Skinner 	<ul style="list-style-type: none"> • Jim Lawson • Marcella Rensi • Michael Smith
Change Management Board (monthly)	<ul style="list-style-type: none"> • Boris Lipkin • Simon Whitehorn 	<ul style="list-style-type: none"> • Trish Stoops • Kenneth Folan 	<ul style="list-style-type: none"> • Luis Zurinaga • Tilly Chang (info only) 	<ul style="list-style-type: none"> • Joe Hurley 	<ul style="list-style-type: none"> • Krishna Davey • Edwin Castillo • Franklin Wong • Jim Lawson • Nuria Fernandez (info only)
Master Program Schedule Update (monthly)	<ul style="list-style-type: none"> • Wai Siu 	<ul style="list-style-type: none"> • Trish Stoops 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • Joe Hurley 	<ul style="list-style-type: none"> • Jim Lawson
Risk Assessment Committee (monthly)	<ul style="list-style-type: none"> • Wai Siu 	<ul style="list-style-type: none"> • Trish Stoops 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • Joe Hurley 	<ul style="list-style-type: none"> • Krishna Davey • Edwin Castillo • Franklin Wong
PCEP Delivery Coordination Meeting (bi-weekly)	<ul style="list-style-type: none"> • Wai Siu 	<ul style="list-style-type: none"> • Trish Stoops 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • Joe Hurley 	<ul style="list-style-type: none"> • Krishna Davey • Edwin Castillo • Franklin Wong
Systems Integration Meeting (bi-weekly)	<ul style="list-style-type: none"> • Wai Siu 	<ul style="list-style-type: none"> • Trish Stoops 	<ul style="list-style-type: none"> • Luis Zurinaga 	<ul style="list-style-type: none"> • Joe Hurley 	<ul style="list-style-type: none"> • Krishna Davey • Edwin Castillo • Franklin Wong

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Appendix C – Schedule

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#	Activity Name	Duration	Start	Finish	2014				2015				2016				2017				2018				2019				2020				2021				2022				Q23
					Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	
46	Segment Testing	60d	06-15-21	08-13-21																																					
47	TESTING	91d	01-22-22	04-22-22																																					
48	DRILL TRACK (TASI)	20d	01-04-21	01-29-21																																					
49	SCADA (Arinc)	1771d	03-30-15 A	03-18-22																																					
50	PREPARE SOLE SOURCE & AWARD	649d	03-30-15 A	10-16-17 A																																					
51	DESIGN	157d	10-16-17 A	05-31-18 A																																					
52	IMPLEMENTATION, TEST, INSTALL & CUTOVER	899d	09-04-18 A	03-18-22																																					
53	CEMOF (Various)	994d	11-16-17 A	09-07-21																																					
54	CEMOF MODIFICATIONS (ProVen)	816d	11-16-17 A	12-31-20																																					
55	DESIGN	178d	11-16-17 A	07-31-18 A																																					
56	BID & AWARD	132d	08-01-18 A	02-07-19 A																																					
57	CONSTRUCTION	439d	04-29-19 A	12-31-20																																					
58	PANTOGRAPH INSPECTION & MONITORING SYSTEM (Ctr TBD)	641d	03-01-19 A	09-07-21																																					
59	SCISSOR LIFT WORK PLATFORM (Ctr TBD)	574d	03-01-19 A	06-02-21																																					
60	TUNNEL MODIFICATION (ProVen)	1535d	10-31-14 A	09-17-20 A																																					
61	DESIGN	840d	10-31-14 A	02-22-18 A																																					
62	BID & AWARD	66d	02-23-18 A	05-25-18 A																																					
63	CONSTRUCTION	557d	08-01-18 A	09-17-20 A																																					
64	ELECTRIC LOCOMOTIVE (Amtrak / Mitsui)	936d	03-01-17 A	10-01-20																																					
65	EMU (Stadler)	2147d	05-01-14 A	07-22-22																																					
66	DEVELOP RFP, BID & AWARD	612d	05-01-14 A	09-02-16 A																																					
67	DESIGN	1084d	09-06-16 A	10-30-20																																					
68	PROCUREMENT (Material)	1034d	01-16-17 A	12-31-20																																					
69	MANUFACTURING & TESTING	1210d	12-04-17 A	07-22-22																																					
70	TRAINSET 1	1055d	12-04-17 A	12-17-21																																					
71	TRAINSET 2	982d	02-22-18 A	11-26-21																																					
72	TRAINSET 3	800d	08-06-18 A	08-27-21																																					
73	TRAINSET 4	595d	06-03-19 A	09-10-21																																					
74	TRAINSET 5	470d	12-02-19 A	09-17-21																																					
75	TRAINSET 6	450d	01-13-20 A	10-01-21																																					
76	TRAINSET 7	445d	02-10-20 A	10-22-21																																					
77	TRAINSET 8	395d	05-04-20 A	11-05-21																																					
78	TRAINSET 9	385d	06-22-20 A	12-10-21																																					
79	TRAINSET 10	425d	06-22-20 A	02-04-22																																					
80	TRAINSET 11	415d	08-17-20 A	03-18-22																																					
81	TRAINSET 12	412d	10-01-20	04-29-22																																					
82	TRAINSET 13	410d	11-16-20	06-10-22																																					
83	TRAINSET 14	390d	01-25-21	07-22-22																																					
84	TESTING & STARTUP (JPB)	118d	03-10-22	08-22-22																																					
85	PRE-REVENUE TESTING	44d	03-10-22	04-22-22																																					
86	REVENUE OPERATIONS	86d	04-23-22	08-22-22																																					
87	Phased Revenue Service	91d	04-23-22	07-22-22																																					
88	Revenue Service Date (RSD) w/out Risk Contingency	0d		07-22-22																																					
89	Revenue Service Date (RSD) w/ Risk Contingency (FFGA RSD)	0d		08-22-22																																					
90	RISK CONTINGENCY	31d	07-23-22	08-22-22																																					

█ Prog Plan (C16.00)
 █ Remaining
 ▶ Start Milestone
 ◊ Last Months Update
█ Last Months Update
█ Near Critical
 ◀ Finish Milestone
◆ Critical Milestone
█ Progress
█ Critical
◆ Prog Plan (C16.00)
█ Risk Contingency

Phased Rev

Appendix D – Standard Cost Codes

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**Peninsula Corridor Electrification Project
Monthly Progress Report**

Description of Work	FFGA Baseline Budget (A)	Approved Budget (B)	Cost This Month (C)	Cost To Date (D)	Estimate To Complete (E)	Estimate At Completion (F) = (D) + (E)
10 - GUIDEWAY & TRACK ELEMENTS	\$14,256,739	\$27,353,871	\$0	\$24,997,834	\$2,993,571	\$27,991,405
10.02 Guideway: At-grade semi-exclusive (allows cross-traffic)	\$2,500,000	\$2,500,000	\$0	\$144,681	\$2,355,319	\$2,500,000
10.07 Guideway: Underground tunnel	\$8,110,649	\$24,853,871	\$0	\$24,853,153	\$638,251	\$25,491,404
10.07 Allocated Contingency	\$3,646,090	\$0	\$0	\$0	\$0	\$0
30 - SUPPORT FACILITIES: YARDS, SHOPS, ADMIN. BLDGS	\$2,265,200	\$6,849,335	\$277,186	\$4,517,162	\$3,645,931	\$8,163,093
30.03 Heavy Maintenance Facility	\$1,344,000	\$6,849,335	\$277,186	\$4,517,162	\$3,645,931	\$8,163,093
30.03 Allocated Contingency	\$421,200	\$0	\$0	\$0	\$0	\$0
30.05 Yard and Yard Track	\$500,000	\$0	\$0	\$0	\$0	\$0
40 - SITEWORK & SPECIAL CONDITIONS	\$255,072,402	\$267,274,252	\$4,001,358	\$193,345,361	\$78,866,548	\$272,211,908
40.01 Demolition, Clearing, Earthwork	\$3,077,685	\$3,077,685	\$128,700	\$5,665,400	(\$2,557,715)	\$3,107,685
40.02 Site Utilities, Utility Relocation	\$62,192,517	\$93,414,668	\$2,348,362	\$95,887,289	(\$272,621)	\$95,614,668
40.02 Allocated Contingency	\$25,862,000	(\$0)	\$0	\$0	(\$0)	(\$0)
40.03 Haz. mat'l, contam'd soil removal/mitigation, ground water treatments	\$2,200,000	\$4,944,961	\$50,966	\$6,353,229	(\$1,398,268)	\$4,954,961
40.04 Environmental mitigation, e.g. wetlands, historic/archeologic, parks	\$32,579,208	\$32,954,208	\$50,625	\$2,059,995	\$30,894,213	\$32,954,208
40.05 Site structures including retaining walls, sound walls	\$568,188	\$568,188	\$0	\$0	\$568,188	\$568,188
40.06 Pedestrian / bike access and accommodation, landscaping	\$804,933	\$764,933	\$0	\$0	\$764,933	\$764,933
40.07 Automobile, bus, van accessways including roads, parking lots	\$284,094	\$284,094	\$0	\$0	\$284,094	\$284,094
40.08 Temporary Facilities and other indirect costs during construction	\$107,343,777	\$110,655,514	\$1,422,705	\$83,379,449	\$46,898,770	\$130,278,218
40.08 Allocated Contingency	\$20,160,000	\$20,610,000	\$0	\$0	\$3,684,953	\$3,684,953
50 - SYSTEMS	\$504,445,419	\$525,592,189	\$17,486,936	\$204,532,428	\$332,778,396	\$537,310,824
50.01 Train control and signals	\$97,589,149	\$101,030,416	\$1,665,987	\$40,346,710	\$61,900,243	\$102,246,953
50.01 Allocated Contingency	\$1,651,000	\$0	\$0	\$0	\$0	\$0
50.02 Traffic signals and crossing protection	\$23,879,905	\$23,879,905	\$0	\$0	\$23,879,905	\$23,879,905
50.02 Allocated Contingency	\$1,140,000	\$1,140,000	\$0	\$0	\$1,140,000	\$1,140,000
50.03 Traction power supply: substations	\$69,120,009	\$97,744,787	\$763,496	\$37,783,201	\$59,985,654	\$97,768,855
50.03 Allocated Contingency	\$31,755,013	\$2,990,895	\$0	\$0	\$1,501,915	\$1,501,915
50.04 Traction power distribution: catenary and third rail	\$253,683,045	\$287,041,403	\$15,057,453	\$126,344,528	\$176,749,150	\$303,093,678
50.04 Allocated Contingency	\$18,064,000	\$4,201,485	\$0	\$0	\$116,219	\$116,219
50.05 Communications	\$5,455,000	\$5,455,000	\$0	\$57,989	\$5,397,011	\$5,455,000
50.07 Central Control	\$2,090,298	\$2,090,298	\$0	\$0	\$2,090,298	\$2,090,298
50.07 Allocated Contingency	\$18,000	\$18,000	\$0	\$0	\$18,000	\$18,000
60 - ROW, LAND, EXISTING IMPROVEMENTS	\$35,675,084	\$35,675,084	\$55,497	\$20,479,309	\$15,195,776	\$35,675,084
60.01 Purchase or lease of real estate	\$25,927,074	\$25,927,074	\$55,497	\$20,346,699	\$5,930,375	\$26,277,074
60.01 Allocated Contingency	\$8,748,010	\$8,748,010	\$0	\$0	\$8,398,010	\$8,398,010
60.02 Relocation of existing households and businesses	\$1,000,000	\$1,000,000	\$0	\$132,609	\$867,391	\$1,000,000
70 - VEHICLES (96)	\$625,544,147	\$620,597,713	\$564,904	\$225,897,798	\$393,231,761	\$619,129,560
70.03 Commuter Rail	\$589,167,291	\$591,340,151	\$564,904	\$225,359,519	\$367,838,524	\$593,198,043
70.03 Allocated Contingency	\$9,472,924	\$5,415,810	\$0	\$0	\$2,099,765	\$2,099,765
70.06 Non-revenue vehicles	\$8,140,000	\$5,067,821	\$0	\$538,280	\$4,529,541	\$5,067,821
70.07 Spare parts	\$18,763,931	\$18,763,931	\$0	\$0	\$18,763,931	\$18,763,931
80 - PROFESSIONAL SERVICES (applies to Cats. 10-50)	\$323,793,010	\$335,942,693	\$2,107,429	\$310,608,744	\$46,252,334	\$356,861,078
80.01 Project Development	\$130,350	\$130,350	\$0	\$280,180	(\$149,830)	\$130,350
80.02 Engineering (not applicable to Small Starts)	\$180,227,311	\$188,672,708	\$50,377	\$198,811,546	(\$6,285,544)	\$192,526,002
80.02 Allocated Contingency	\$1,866,000	\$190,678	\$0	\$0	\$10,147	\$10,147
80.03 Project Management for Design and Construction	\$72,029,265	\$79,164,962	\$1,065,466	\$80,905,270	\$18,417,029	\$99,322,299
80.03 Allocated Contingency	\$9,388,080	\$5,471,844	\$0	\$0	(\$0)	(\$0)
80.04 Construction Administration & Management	\$23,677,949	\$30,110,163	\$964,610	\$20,619,625	\$17,435,895	\$38,055,520
80.04 Allocated Contingency	\$19,537,000	\$13,104,785	\$0	\$0	\$5,159,428	\$5,159,428
80.05 Professional Liability and other Non-Construction Insurance	\$3,500,000	\$4,581,851	\$0	\$4,581,851	\$0	\$4,581,851
80.06 Legal; Permits; Review Fees by other agencies, cities, etc.	\$7,167,275	\$8,671,371	\$26,359	\$5,366,751	\$4,411,992	\$9,778,742
80.06 Allocated Contingency	\$556,000	\$0	\$0	\$0	\$0	\$0
80.07 Surveys, Testing, Investigation, Inspection	\$3,287,824	\$3,418,022	\$616	\$43,521	\$3,455,260	\$3,498,781
80.08 Start up	\$1,797,957	\$1,797,957	\$0	\$0	\$3,797,957	\$3,797,957
80.08 Allocated Contingency	\$628,000	\$628,000	\$0	\$0	(\$0)	(\$0)
Subtotal (10 - 80)	\$1,761,052,001	\$1,819,275,137	\$24,493,310	\$984,378,636	\$872,964,316	\$1,857,342,952
90 - UNALLOCATED CONTINGENCY	\$162,620,295	\$101,497,159	\$0	\$0	\$63,429,344	\$63,429,344
Subtotal (10 - 90)	\$1,923,672,296	\$1,920,772,296	\$24,493,310	\$984,378,636	\$936,393,660	\$1,920,772,296
100 - FINANCE CHARGES	\$6,998,638	\$9,898,638	\$194,344	\$6,689,874	\$3,208,764	\$9,898,638
Total Project Cost (10 - 100)	\$1,930,670,934	\$1,930,670,934	\$24,687,654	\$991,068,510	\$939,602,424	\$1,930,670,934

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Appendix E – Change Order Logs

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**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Logs

Electrification Contract

Change Order Authority (5% of BBII Contract)

5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount	Change Order Authority Usage¹	Remaining Authority
08/31/17	BBI-053-CCO-001	Track Access Delays Q4 2016	\$85,472	0.25%	\$34,745,056
02/28/18	BBI-053-CCO-003	Deletion of Signal Cable Meggering (Testing)	(\$800,000)	(2.30%)	\$35,545,056
02/21/18	BBI-053-CCO-004	Field Order for Differing Site Condition Work Performed on 6/19/17	\$59,965	0.17%	\$35,485,091
03/12/18	BBI-053-CCO-006	Track Access Delays for Calendar Quarter 1 2017	\$288,741	0.83%	\$35,196,350
04/24/18	BBI-053-CCO-002	Time Impact 01 Associated with Delayed NTP	\$9,702,667	0.00% ²	-
04/24/18	BBI-053-CCO-008	2016 Incentives (Safety, Quality, and Public Outreach)	\$750,000	0.00% ²	-
05/31/18	BBI-053-CCO-009	16th St. Grade Crossing Work Removal from BBII Contract	(\$685,198)	(1.97%)	\$35,881,548
05/31/18	BBI-053-CCO-012	2017 Incentives (Safety, Quality, and Public Outreach)	\$1,025,000	0.00% ²	-
06/25/18	BBI-053-CCO-010	Pothole Change Of Shift	\$300,000	0.86%	\$35,581,548
06/25/18	BBI-053-CCO-013	Field Order for Signal Cable Relocation (FO# 31)	\$95,892	0.28%	\$35,485,656
06/25/18	BBI-053-CCO-015	TASI Pilot Transportation 2017	\$67,345	0.19%	\$35,418,311
06/26/18	BBI-053-CCO-005	Field Orders for Signal Cable Relocation (FO#s 26, 30)	\$191,836	0.55%	\$35,226,475
06/28/18	BBI-053-CCO-014	Field Orders for Signal Cable Relocation (FO-36 & FO-38)	\$145,694	0.42%	\$35,080,781
06/29/18	BBI-053-CCO-007	Track Access Delays for Calendar Quarter 2 2017	\$297,512	0.85%	\$34,783,269
06/29/18	BBI-053-CCO-011	Field Orders for Differing Site Condition (FO#s Partial 07A , 08-14)	\$181,013	0.52%	\$34,602,256
06/29/18	BBI-053-CCO-017	Field Order for NorCal Utility Potholing (FO# 27)	\$93,073	0.27%	\$34,509,183
06/29/18	BBI-053-CCO-018	Field Order for NorCal Utility Potholing (FO# 29)	\$76,197	0.22%	\$34,432,986
06/29/18	BBI-053-CCO-020	Field Orders for Differing Site Condition (FO#s 15-19)	\$118,364	0.34%	\$34,314,622
7/19/2018	BBI-053-CCO-019	Field Order for NorCal Utility Potholing (FO-032)	\$88,956	0.26 %	\$34,225,666
7/19/2018	BBI-053-CCO-021	As In-Service (AIS) Drawings for Segment 2 and 4 Signal Design (CN-009)	\$105,000	0.30 %	\$34,120,666
7/25/2018	BBI-053-CCO-022	CEMOF Yard Traction Power Feed (CN-008)	\$332,700	0.96 %	\$33,787,966
7/31/2018	BBI-053-CCO-028	Sonic Echo Impulse Testing	\$4,541	0.01 %	\$33,783,425
7/31/2018	BBI-053-CCO-026	TASI Pilot Transportation 2018 (CNC-0022)	\$50,409	0.14%	\$33,733,016
7/31/2018	BBI-053-CCO-027	Signal Cable Relocation (FOs-040 & 051)	\$196,114	0.56%	\$33,536,902
9/27/2018	BBI-053-CCO-030	Delete Spare 115k Disconnect Switches	(\$19,000)	(0.05)%	\$33,555,902
9/28/2018	BBI-053-CCO-031	Bldg A HVAC and FOB Card Reader Systems	\$76,500	0.22 %	\$33,479,402
9/28/2018	BBI-053-CCO-025A	Addition of Shunt Wire at Transverse Utility Crossing Locations - Design	\$925,000	2.66 %	\$32,554,402
9/28/2018	BBI-053-CCO-016A	UPRR MT-1 Pole Relocation - Design Changes	\$903,000	0.00% ²	-
9/28/2018	BBI-053-CCO-024A	PG&E Utility Feed Connection to TPS#1 and TPS#2 (Design Only)	\$727,000	0.00% ²	-
12/17/2018	BBI-053-CCO-032	PS-2 Site Relocation (Design Only)	\$291,446	0.84%	\$32,262,956
1/17/2019	BBI-053-CCO-023	Insulated Rail Joints	\$2,694,519	0.00% ²	-
1/17/2019	BBI-053-CCO-029	CHSRA Early Pole Relocation (Design Only)	\$625,000	0.00% ^{2,3}	-
2/5/2019	BBI-053-CCO-040A	Increase in Potholing Quantity (unit price contract bid item by 25%)	\$1,662,500	4.77 %	\$30,600,456

Peninsula Corridor Electrification Project
Monthly Progress Report

Change Order Authority (5% of BBII Contract)

5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
3/5/2019	BBI-053-CCO-042A	TPSS-2 VTA/BART Pole Relocation (Design Only) (CNPA funded by VTA)	\$110,000	0.32% ³	\$30,490,456
3/11/2019	BBI-053-CCO-036	Field Order for Signal Cable Relocation (FO-064)	\$86,538	0.25%	\$30,403,918
3/20/2019	BBI-053-CCO-035	Millbrae Avenue Existing Overhead Barrier	(\$40,000)	(0.11)%	\$30,443,918
3/19/2019	BBI-053-CCO-046	Training in Design Software and Potholing	\$136,611	0.39%	\$30,307,307
4/8/2019	BBI-053-CCO-041	Grade Crossing Warning System (CN59) – 5 mph Speed Check	\$446,982	1.28%	\$29,860,325
5/30/2019	BBI-053-CCO-044	Additional Daytime Potholing (Increase Quantity by 500 in Segment 4)	\$150,000	0.43 %	\$29,710,325
6/6/2019	BBI-053-CCO-048	Power Metering Devices	\$101,908	0.29 %	\$29,608,417
6/13/2019	BBI-053-CCO-045	Incentive Payment for 2018	\$1,025,000	0.00% ²	-
6/13/2019	BBI-053-CCO-024B	PG&E Utility Feed Connection to TPS #1 and TPS#2 (Material On Hand)	\$1,600,000	4.59 %	\$28,008,417
6/24/2019	BBI-053-CCO-043	PS-5 Site Relocation (Design Only)	\$348,000	1.00 %	\$27,660,417
6/24/2019	BBI-053-CCO-054	Change Design Sequence for OCS Foundations	\$37,500	0.11%	\$27,622,917
7/1/2019	BBI-053-CCO-040B	Increase Quantity for Utilities Potholing (Bid Item #9)	\$1,867,700	5.36 %	\$25,755,217
7/10/2019	BBI-053-CCO-033A	Relocation of PS3 (Design) (CNPA funded by BGSP)	\$500,000	1.44 % ³	\$25,255,217
8/15/2019	BBI-053-CCO-047	CEMOF Slot Drains (Design Only)	\$69,000	0.20%	\$25,186,217
8/16/2019	BBI-053-CCO-055	Sheriff's Deputy in Segment 4B	\$4,644	0.01%	\$25,181,573
9/3/2019	BBI-053-CCO-037	Field Orders for Signal Cable Relocation (FO-053 & FO-059)	\$184,576	0.53%	\$24,996,997
9/7/2019	BBI-053-CCO-057	Mediator with Technical Expertise	\$0	0.00%	\$24,996,997
9/27/2019	BBI-053-CCO-061	Interconnect Renaming of Circuit Numbers	\$58,058	0.17%	\$24,938,939
9/27/2019	BBI-053-CCO-063A	Track Access Delays - Quarter 1 2018 (Partial)	\$343,496	0.99%	\$24,595,443
10/21/2019	BBI-053-CCO-064	TPS-2 VTA Pole Height Redesign (CNPA funded by VTA)	\$31,000	0.09% ³	\$24,564,443
11/15/2019	BBI-053-CCO-038	Field Order for Signal Cable Relocation (FO-079 & FO-085)	\$187,764	0.54 %	\$24,376,680
11/26/2019	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only - voided below on 7/31/20	\$144,370	0.41 %	\$24,232,310
12/11/2019	BBI-053-CCO-065A	Foundation Inefficiencies S2WA5	\$401,501	1.15%	\$23,830,809
12/17/2019	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only - voided below on 7/31/20	\$884,500	2.54 %	\$22,946,309
1/7/2020	BBI-053-CCO-066A	Increase Quantity for Contaminated Soils (Bid Unit Price Item #1)	\$950,000	2.73 %	\$21,996,309
2/5/2020	BBI-053-CCO-023B	Insulated Rail Joints De-stressing	\$890,600	2.56 %	\$21,105,709
3/18/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) - voided below on 7/9/20	\$80,000	0.23 %	\$21,025,709
3/19/2020	BBI-053-CCO-023C	Portec Insulated Rail Joints	\$375,000	1.08 %	\$20,650,709
3/26/2020	BBI-053-CCO-076	Asbestos Pipe Abatement at CP Shark	\$145,872	0.42 %	\$20,504,837
3/31/2020	BBI-053-CCO-075	Norcal Utility Potholing (FO#39)	\$98,105	0.28 %	\$20,406,733
4/21/2020	BBI-053-CCO-077A	Contaminated Soil (Class 1) at TPS-1	\$701,780	2.01 %	\$19,704,953
4/27/2020	BBI-053-CCO-066B	Increase Quantity for Contaminated Soils (Bid Item #1)	\$926,273	2.66 %	\$18,778,680
4/27/2020	BBI-053-CCO-090A	Signal Cable Relocation (Field Order No. 340)	\$47,258	0.14 %	\$18,731,423
4/27/2020	BBI-053-CCO-091A	Signal Cable Relocation (Field Order No. 340)	\$131,663	0.38 %	\$18,599,759
4/29/2020	BBI-053-CCO-080A	Steel Plates to Protect Utilities (DTDS)	\$135,128	0.39 %	\$18,464,631

**Peninsula Corridor Electrification Project
Monthly Progress Report**

Change Order Authority (5% of BBII Contract)

5% x \$696,610,558 = \$34,830,528

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
4/29/2020	BBI-053-CCO-081A	Steel Plates to Protect Utilities (DTDS)	\$95,474	0.27 %	\$18,369,157
4/29/2020	BBI-053-CCO-071	Increase Quantity for Tree Pruning (Bid Unit Price Item #4d)	\$375,000	1.08 %	\$17,994,157
5/1/2020	BBI-053-CCO-050	Switch Machine Isolation - Credit	(\$277,430)	(0.80)%	\$18,271,586
5/19/2020	BBI-053-CCO-092A	Signal Cable Relocation (Field Order No. 340)	\$106,773	0.31 %	\$18,164,814
5/19/2020	BBI-053-CCO-093A	Signal Cable Relocation (Field Order No. 340)	\$90,765	0.26 %	\$18,074,049
5/27/2020	BBI-053-CCO-101	Asbestos Pipe Abatement at 46.3-07/08	\$21,037	0.06 %	\$18,053,012
6/15/2020	BBI-053-CCO-049A	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$18,006,452
6/15/2020	BBI-053-CCO-049B	Long-reach Foundations Installation - Unit Price	\$46,560	0.13 %	\$17,959,892
6/18/2020	BBI-053-CCO-033B	PS-3 Site Relocation FEMA 2019 Update and BGSP Design Coordination – CNPA	\$50,000	0.14 % ³	\$17,909,892
6/30/2020	BBI-053-CCO-082A	Steel Plates to Protect Utilities (DTDS)	\$90,658	0.26 %	\$17,819,235
6/30/2020	BBI-053-CCO-083A	Steel Plates to Protect Utilities (DTDS)	\$181,900	0.52 %	\$17,637,335
6/30/2020	BBI-053-CCO-094A	Signal Cable Relocation (Field Order No. 340)	\$124,633	0.36 %	\$17,512,702
7/9/2020	BBI-053-CCO-072A	SVP Requirements for Joint SIS & SPS (Task 1) – Voided	(\$80,000)	(0.23)%	\$17,592,702
7/9/2020	BBI-053-CCO-072A REV2	SVP Requirements for Joint SIS & SPS (Tasks 0-5)	\$300,000	0.86 %	\$17,292,702
7/16/2020	BBI-053-CCO-100	Remove Tree Stump at 46.4-02	\$1,459	0.00 %	\$17,291,243
7/30/2020	BBI-053-CCO-078	Re-design CEMOF OCS Poles due to Stair 71 Conflict	\$11,796	0.03 %	\$17,279,447
7/30/2020	BBI-053-CCO-084A	Steel Plates to Protect Utilities (DTDS)	\$101,334	0.29 %	\$17,178,113
7/30/2020	BBI-053-CCO-085A	Steel Plates to Protect Utilities (DTDS)	\$94,062	0.27 %	\$17,084,051
7/30/2020	BBI-053-CCO-104	Utility Conflict During PVC Conduit Installation	\$2,657	0.01 %	\$17,081,394
7/31/2020	BBI-053-CCO-103	Track Access Delays – 2017 Quarter 3	\$145,892	0.42 %	\$16,935,503
7/31/2020	BBI-053-CCO-025B	Addition of OCS Shunt Wires in Segments 2 & 4 - Wire Assembly Materials Only – Voided	(\$144,370)	(0.41)%	\$17,079,873
7/31/2020	BBI-053-CCO-025C	Addition of OCS Shunt Wires in Segments 2 & 4 – Pole Assembly Materials Only – Voided	(\$884,500)	(2.54)%	\$17,964,373
8/3/2020	BBI-053-CCO-063B	Track Access Delays – Quarter 1 2018 (Part 2)	\$92,906	0.27 %	\$17,871,466
8/14/2020	BBI-053-CCO-106	Track Access Delays – 2017 Quarter 4	\$903,794	2.59 %	\$16,967,672
9/10/2020	BBI-053-CCO-025F	OCS Shunt Wire (Construction)	\$9,500,000	0.00% ²	-
9/11/2020	BBI-053-CCO-126	Track Access Delays - 2019 Quarter 3 – OCS Foundations	\$81,223	0.23 %	\$16,886,450
9/24/2020	BBI-053-CCO-127	Track Access Delays – 2019 Quarter 4 – OCS Foundations	\$147,223	0.42 %	\$16,739,227
9/21/2020	BBI-053-CCO-051	CEMOF Yard OCS Changes (Design Only)	\$210,300	0.60 %	\$16,528,927
9/21/2020	BBI-053-CCO-074	Underground Utilities Clearance	\$0	0.00 %	\$16,528,927
Total			\$45,253,787	52.54 %	\$16,528,927

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.
3. Third party improvements/CNPA projects that are funded with non-PCEP funds.

Peninsula Corridor Electrification Project
Monthly Progress Report

EMU Contract

Change Order Authority (5% of Stadler Contract)

5% x \$550,899,459 = \$27,544,973

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
09/22/2017	STA-056-CCO-001	Contract General Specification and Special Provision Clean-up	\$0	0.00%	-
10/27/2017	STA-056-CCO-002	Prototype Seats and Special Colors	\$55,000	0.20%	\$27,489,973
11/02/2017	STA-056-CCO-003	Car Level Water Tightness Test	\$0	0.00%	-
12/05/2017	STA-056-CCO-004	Onboard Wheelchair Lift 800 Pound Capacity Provisions	\$848,000	3.08%	\$26,641,973
11/03/2017	STA-056-CCO-005	Design Progression (multiple)	\$0	0.00%	-
12/12/2017	STA-056-CCO-006	Prototype Seats and Special Colors	(\$27,500)	(0.10%)	\$26,669,473
01/17/2018	STA-056-CCO-007	Multi-Color Destination Signs	\$130,760	0.47%	\$26,538,713
02/09/2018	STA-056-CCO-008	Adjustment to Delivery and LDs due to delayed FNTF	\$490,000	0.00% ²	-
02/12/2018	STA-056-CCO-009	Ship Cab Mock-up to Caltrain	\$53,400	0.19%	\$26,485,313
04/17/2018	STA-056-CCO-010	Onboard Wheelchair Lift Locations	(\$1,885,050)	(6.84%)	\$28,370,363
04/17/2018	STA-056-CCO-011	Multiple Change Group 3 and Scale Models	\$0	0.00%	-
10/29/2018	STA-056-CCO-012	Multiple Change Group 4	\$0	0.00%	-
10/29/2018	STA-056-CCO-013	Wheelchair Lift Installation Redesign	\$228,400	0.83%	\$28,141,963
12/14/2018	STA-056-CCO-014	PTC System Change	\$0	0.00%	-
12/22/2018	STA-056-CCO-015	EMU Option Cars	\$172,800,047	0.00% ^{2,3}	-
6/26/2019	STA-056-CCO-016	Testing at TTCI (Pueblo Facility) - First Trainset	\$3,106,428	11.28 %	\$25,035,535
8/27/2019	STA-056-CCO-017	Virtual Reality Experience	\$400,000	1.45 %	\$24,635,535
8/21/2019	STA-056-CCO-018	EMI Conducted Emissions Limits	\$0	0.00%	\$24,635,535
8/8/2019	STA-056-CCO-019	Option Car Payment Milestones	\$0	0.00%	\$24,635,535
8/21/2019	STA-056-CCO-020	Multiple No Cost No Schedule Impact Changes Group 5	\$0	0.00%	\$24,635,535
10/28/2019	STA-056-CCO-021	Plugging of High-Level Doorways	\$736,013	2.67%	\$23,899,523
11/13/2019	STA-056-CCO-022	Add Flip-Up Seats into Bike Cars (CNPA: \$1.96M funded by Non-PCEP)	\$1,961,350	7.12% ³	\$21,938,173
4/21/2020	STA-056-CCO-025	Removal of Vandal Film from Windows	(\$374,994)	(1.36)%	\$22,313,167
5/6/2020	STA-056-CCO-023	Deferral of Wheelchair Lifts	\$632,703	2.30 %	\$21,680,464
7/13/2020	STA-056-CCO-026	Update VR Experiences (CNPA: \$43K funded by Non-PCEP)	\$43,000	0.16 % ³	\$21,637,464
9/14/2020	STA-056-CCO-027	EMU Liquidated Damages, and Delivery and Testing Schedule Modifications	\$0	0.00 %	\$21,637,464
Total			\$179,197,556	21.45 %	\$21,637,464

Notes:

1. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
2. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.
3. Third party improvements/CNPA projects that are funded with non-PCEP funds.

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SCADA Contract

Change Order Authority (15% of ARINC Contract)

15% x \$3,446,917 = \$517,038

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
None to date					
Total			\$0	0.00%	\$517,038

Notes:

- ¹ When the threshold of 75% is reached, staff may return to the Board to request additional authority.
- ² Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

Tunnel Modifications Contract

Change Order Authority (10% of ProVen Contract¹)

10% x \$55,077,777 = \$5,507,778

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
3/27/2019	PROV-070-CCO-003	Track Access Delay	\$25,350	0.46 %	\$5,482,428
3/27/2019	PROV-070-CCO-004	Additional OCS Potholing Due to Conflict with Existing Utilities	\$70,935	1.29 %	\$5,411,493
3/27/2019	PROV-070-CCO-005	Install Tie Backs and Piles in Boulders at Tunnel 4	\$29,478	0.54 %	\$5,382,015
3/28/2019	PROV-070-CCO-001	Partnering Meetings (50% PCEP)	\$14,443	0.26 % ⁴	\$5,367,572
4/25/2019	PROV-070-CCO-002	Furnish Galvanized E-clips	\$37,239	0.68 %	\$5,330,333
4/30/2019	PROV-070-CCO-006	Additional Rock Bolts and Testing	\$22,549	0.41 %	\$5,307,784
5/23/2019	PROV-070-CCO-013	Late Removal of Leaky Feeder Tunnel 4 (T-4)	\$21,225	0.39 %	\$5,286,559
5/28/2019	PROV-070-CCO-014	OCS Piles Utility Conflict at Tunnel-1 South (T-1S)	\$16,275	0.30 %	\$5,270,284
5/29/2019	PROV-070-CCO-012	OCS Piles Utility Conflict at T-4S	\$6,871	0.12 %	\$5,263,413
5/31/2019	PROV-070-CCO-016A	Portal Structure Detailing Changes	\$84,331	1.53 %	\$5,179,082
6/18/2019	PROV-070-CCO-009	Creosote Ties Covering (CNPA - Drainage \$3,116.00)	\$3,116	0.06 % ⁴	\$5,175,966
6/28/2019	PROV-070-CCO-008	Micropiles at South Tunnel-2 South (T-2S)	\$41,322	0.75 %	\$5,134,644
6/28/2019	PROV-070-CCO-010	Salvage Transition Panels (CNPA - Drainage \$6,144.00)	\$6,144	0.11 % ⁴	\$5,128,500
6/28/2019	PROV-070-CCO-011	Demo PVC and Plug Tunnel-1 South (T-1S) (CNPA - Drainage \$4,035.00)	\$4,035	0.07 % ⁴	\$5,124,465
6/28/2019	PROV-070-CCO-020	Unidentified SD Conflict with Junction Inlet (CNPA - Drainage \$1,976.00)	\$1,976	0.04 % ⁴	\$5,122,489
9/26/2019	PROV-070-CCO-007	Canopy Tube Drilling	\$89,787	1.63%	\$5,032,702
9/26/2019	PROV-070-CCO-023	Over-excavate Trapezoidal Ditch at T-1N (CNPA - Drainage \$46,914.00)	\$46,914	0.85% ⁴	\$4,985,788
10/4/2019	PROV-070-CCO-029	Additional DryFix Pins	\$105,000	1.91%	\$4,880,788
10/4/2019	PROV-070-CCO-021	Out of Sequence Piles	\$185,857	3.37 %	\$4,694,931
10/30/2019	PROV-070-CCO-017	Hard Piping in T-4 (CNPA - Drainage \$2,200.00)	\$2,200	0.04 % ⁴	\$4,692,731
1/25/2020	PROV-070-CCO-027	Grout Quantity Underrun	(\$1,216,000)	(22.08)%	\$5,908,731
1/29/2020	PROV-070-CCO-026	HMAC Quantity Overrun (CNPA - Drainage \$160,000.00)	\$160,000	2.9 % ⁴	\$5,748,731
5/11/2020	PROV-070-CCO-025	NOPC #1 CWR (CNPA - Drainage \$660,000.00)	\$660,000	11.98 % ⁴	\$5,088,731

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Change Order Authority (10% of ProVen Contract¹)

10% x \$55,077,777 = \$5,507,778

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ²	Remaining Authority
7/31/2020	PROV-070-CCO-032	Stone Masonry Fabrication at T-4S	\$26,367	0.48 %	\$5,062,364
7/31/2020	PROV-070-CCO-035	Low Overhead Obstruction at T-1N	\$18,894	0.34 %	\$5,043,470
Total			\$464,308	8.43 %	\$5,043,470

Notes:

1. Tunnel modifications contract (\$55,077,777) includes: Notching (\$25,281,170), Drainage (\$13,196,607) and OCS Installation (\$16,600,000).
2. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
3. Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.
4. Third Party Improvements/CNPA Projects that are funded with non-PCEP funds.

CEMOF Modifications Contract

Change Order Authority (10% of ProVen Contract)

10% x \$6,550,777 = \$655,078

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
1/16/2020	PROV-071-CCO-001	Change Casing Size of Siphon Line to Schedule 80 PVC Pipe	\$3,849	0.59 %	\$651,229
1/13/2020	PROV-071-CCO-002	Leakage test for IW line	\$1,339	0.20 %	\$649,890
1/15/2020	PROV-071-CCO-003	Roughen surface of existing concrete	\$3,159	0.48 %	\$646,731
1/9/2020	PROV-071-CCO-004	Change Catch Basin Size from 24"X24" to 36" Round	\$14,415	2.20 %	\$632,316
1/15/2020	PROV-071-CCO-005	Hand Dig around Communication Lines	\$906	0.14 %	\$631,410
1/17/2020	PROV-071-CCO-008	Change Storm Drain Line A Material from 12-inch RCP Pipe to 12-inch PVC Pipe	\$3,583	0.55 %	\$627,827
1/16/2020	PROV-071-CCO-009	Demolition of Existing Exterior Light	\$1,558	0.24 %	\$626,269
2/13/2020	PROV-071-CCO-010	Deletion of Plastic Bollards Around New Inspection Pit	(\$3,324)	(0.51)%	\$629,593
2/13/2020	PROV-071-CCO-011	Fixing Broken Conduit in Concrete Slab North of Maintenance Building	\$4,286	0.65 %	\$625,307
2/13/2020	PROV-071-CCO-012	Epoxy Dowels at New Stairwells	\$3,526	0.54 %	\$621,781
2/13/2020	PROV-071-CCO-013	Deletion of the Removal and Replacement of Pump Disconnect Switches	(\$7,007)	(1.07)%	\$628,788
2/13/2020	PROV-071-CCO-014	Recycled Base Rock for Backfill at Pressurized Water Line at Parts Storage Warehouse	\$1,411	0.22 %	\$627,377
2/20/2020	PROV-071-CCO-015	Cut and Cap Oil Line	\$1,002	0.15 %	\$626,375
2/25/2020	PROV-071-CCO-016	Installation of Homerun Conduit	\$27,404	4.18 %	\$598,971
2/25/2020	PROV-071-CCO-017	Potholing for Boosted Water Line	\$18,476	2.82 %	\$580,495
2/28/2020	PROV-071-CCO-018	Cap Compressed Air Line	\$9,519	1.45 %	\$570,976
2/28/2020	PROV-071-CCO-019	Acoustic Ceiling Removal at Component Test Room	\$4,253	0.65 %	\$566,723
3/5/2020	PROV-071-CCO-020	Ground Wire Relocation	\$14,117	2.16 %	\$552,606
3/13/2020	PROV-071-CCO-021	Zurn Drain Assembly in Lieu of Fibrelyte	\$1,104	0.17 %	\$551,502
4/8/2020	PROV-071-CCO-022	Deletion of Concrete Pad and Double Plywood Floor at PSW	(\$1,409)	(0.22)%	\$552,911
4/8/2020	PROV-071-CCO-023	Flashing at Overflow Drain at Component Test Room	\$2,981	0.46 %	\$549,930
4/9/2020	PROV-071-CCO-024	Parts Storage Warehouse Power Feed	\$16,412	2.51 %	\$533,518
4/22/2020	PROV-071-CCO-025	Removal of Hazardous Soil from PSW Subgrade Excavation	\$43,444	6.63 %	\$490,073
4/22/2020	PROV-071-CCO-026A	Removal of Hazardous Soil from PSW Footing Excavation	\$35,808	5.47 %	\$454,266

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Change Order Authority (10% of ProVen Contract)

10% x \$6,550,777 = \$655,078

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
4/27/2020	PROV-071-CCO-027	480 Volt Duct Bank and Wire Removal	\$5,015	0.77 %	\$449,251
5/28/2020	PROV-071-CCO-031A	Temporary Facilities - Eye Wash Stations	\$656	0.10 %	\$448,595
6/3/2020	PROV-071-CCO-032A	Water Diversion Pump for Catch Basin Work	\$2,745	0.42 %	\$445,850
6/3/2020	PROV-071-CCO-033A	Light Towers for Maintenance Building Yard	\$3,897	0.59 %	\$441,953
6/3/2020	PROV-071-CCO-034	Investigation of Concrete Underneath Ties at Track 5	\$5,060	0.77 %	\$436,893
6/16/2020	PROV-071-CCO-029A	Shoring Design for Boosted Water Line Work	\$14,307	2.18 %	\$422,586
6/16/2020	PROV-071-CCO-030A	Investigation and Re-wiring of Electrical Receptacles at CTR	\$7,783	1.19 %	\$414,803
6/10/2020	PROV-071-CCO-028	Credit for Electrical Feed to Parts Storage Warehouse	(\$18,682)	(2.85)%	\$433,485
7/24/2020	PROV-071-CCO-029B	Shoring Design for Boosted Water Line Work	\$2,175	0.33 %	\$431,310
7/24/2020	PROV-071-CCO-032B	Water Diversion Pump for Catch Basin Work	\$3,621	0.55 %	\$427,689
7/24/2020	PROV-071-CCO-035	Settlement Slab Demolition	\$479	0.07 %	\$427,210
7/24/2020	PROV-071-CCO-036	Storm Drain Line A	\$2,066	0.32 %	\$425,144
7/30/2020	PROV-071-CCO-037	Owner Supplied WSP Cabinet - Added Mechanical Pad and Conduit Pull	\$5,922	0.90 %	\$419,222
7/30/2020	PROV-071-CCO-038	Interior and Exterior Metal Wall Panels at CTR	\$10,317	1.57 %	\$408,905
7/30/2020	PROV-071-CCO-039	Exterior CMU Wall at CTR	\$16,152	2.47 %	\$392,753
7/30/2020	PROV-071-CCO-040	Membrane Waterproofing Specification Modifications	\$36,233	5.53 %	\$356,520
Total			\$298,558	45.58 %	\$356,520

Notes:

- ¹. When the threshold of 75% is reached, staff may return to the Board to request additional authority.
- ². Change approved by the Board of Directors – not counted against the Executive Director's Change Order Authority.

AMTRAK AEM-7 Contract

Change Order Authority (Lump Sum)

Up to \$150,000

Date	Change Number	Description	CCO Amount	Change Order Authority Usage ¹	Remaining Authority
10/25/2019	AMTK-066-CCO-001	Change to Amtrak Contract for Test Locomotives	(72,179)	(48.12%)	222,179
Total			(72,179)	(48.12%)	\$222,179

Notes:

- ¹. When the threshold of 75% is reached, staff may return to the Board to request additional authority.

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Appendix F – Risk Table

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Listing of PCEP Risks and Effects in Order of Severity

ID	RISK DESCRIPTION	EFFECT(S)
314	The contractor may not complete and install signal design including Two-speed check (2SC) modifications within budget and schedule.	Delay and additional cost for rework.
303	Extent of differing site conditions and associated redesign efforts results in delays to the completion of the electrification contract and increases program costs.	<p>Extends construction of design-build contract with associated increase in project costs</p> <ul style="list-style-type: none"> • DSC design cost • Inefficiencies • Construction costs related to DSCs (i.e., larger foundations) • Additional potholing
313	Sub-optimal contractor sequencing, when progressing design and clearing foundation locations may result in construction inefficiencies	Contractor claims for increase in construction and design costs, and reduced production rates extending construction duration
240	<p>Property not acquired in time for contractor to do work.</p> <p>Property Acquisition not complete per contractor availability date <>Fee <>Easement <>Contract stipulates that if parcels are not available by contract date, there is only a delay if parcels are not available by the time contractor completes the Segment</p>	<ul style="list-style-type: none"> • Potential delays in construction schedule
267	Additional property acquisition is necessitated by change in design.	New project costs and delays to schedule.
010	Potential for Stadler's sub-suppliers to fall behind schedule or delays in parts supply chain result in late completion of vehicles.	<ul style="list-style-type: none"> • Delay in obtaining parts / components. • Cost increases. (See Owner for allocation of costs) • Schedule increase - 3 months (See Owner for allocation of damages associated with this Risk)
209	TASI may not have sufficient number of signal maintainers for testing.	<ul style="list-style-type: none"> • Delays to construction/testing. • Delays to completion of infrastructure may delay acceptance of vehicles
308	Rejection of DVR for ATF and static wires results in cost and schedule impacts to PCEP.	Delay and delay claims

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ID	RISK DESCRIPTION	EFFECT(S)
273	Contractor generates hazardous materials, that necessitates proper removal and disposal in excess of contract allowances and expectations.	Delay to construction while removing and disposing of hazardous materials resulting in schedule delay, increased construction costs, and schedule delay costs.
263	Collaboration across multiple disciplines to develop a customized rail activation program may fail to comprehensively address the full scope of issues required to operate and maintain an electrified railroad and decommission the current diesel fleet.	Delay in testing of EMUs. Delay in Revenue Service Date. Additional costs for Stadler and BBII due to overall schedule delays.
318	Change of vehicle suppliers results in additional first article inspections at cost to JPB	PCEP incurs additional cost to validate supplier and product, including repeat FAIs as needed
011	Risks in achieving acceptable vehicle operations performance: <> software problems <> electrical system problems <> mechanical problems <> systems integration problems <> interoperability with diesel equipment Increased issues lately with vehicles regarding system integration and compatibility.	Cost increase. Delays vehicle acceptance Potential spill-over to other program elements
244	Delays to completion of Segment 4 and then the entire alignment would create storage issues and impede the ability to exercise (power up and move) EMUs and delay testing of the delivered EMUs.	Delay claims from the EMU contractor (Stadler) and expiration of the EMU 2-year warranty before putting significant mileage on the EMUs. Inability to exercise EMUs
296	PG&E needs to complete interconnection to be sufficiently complete to accept interim power	Delay in testing and increased costs
319	Failure of BBI to order cages in advance results in delays to foundation installation	Delays in installation of catenary system and additional cost for track protection and oversight.
322	BBII needs to complete traction power substations to be sufficiently complete to accept interim power	Delay in testing and increased costs
325	EMU production delay. Possible that there are quality issues, failed factory tests, poor integration / control of suppliers.	Schedule Increase
327	EMU production delay. Possible that there is poor integration / control of suppliers.	Schedule Increase

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ID	RISK DESCRIPTION	EFFECT(S)
013	Vehicle manufacturer could default.	Prolonged delay to resolve issues (up to 12 months) Increase in legal expenses Potential price increase to resolve contract issue
067	Relocation of overhead utilities must precede installation of catenary wire and connections to TPSs. Relocation work will be performed by others and may not be completed to meet BBII's construction schedule.	Delay in progress of catenary installation resulting in claims and schedule delay
223	Major program elements may not be successfully integrated with existing operations and infrastructure in advance of revenue service.	Proposed changes resulting from electrification may not be fully and properly integrated into existing system. Rework resulting in cost increases and schedule delays
242	Track access does not comply with contract-stipulated work windows.	Contractor claims for delays, schedule delays and associated costs to owner's representative staff.
253	Permits for bridges may not be issued in a timely manner.	Delays to issuance of permit for construction while negotiating and executing an operation and maintenance agreement for equipment installed on bridges; existing bridge deficiencies could result in additional costs to PCEP.
261	Although EMUs meets their electromagnetic emissions limits and wayside signal system track circuits meet their susceptibility requirements there are still compatibility issues leading to improper signal system operation	Changes on the EMU and/or signal system require additional design and installation time and expense.
285	Potential for inflation, (except with respect to Maintenance Option) to increase contractor costs.	Higher cost
286	Potential for wage escalation, (except for Maintenance Option) to increase contractor costs.	Higher cost
056	Lack of operations personnel for testing.	<ul style="list-style-type: none"> • Testing delayed. • Change order for extended vehicle acceptance.
115	Other capital improvement program projects compete with PCEP for track access allocation and requires design coordination (design, coordination, integration).	Schedule delay as resources are allocated elsewhere, won't get track time, sequencing requirements may delay PCEP construction, track access requirements must be coordinated.

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ID	RISK DESCRIPTION	EFFECT(S)
321	Single Phase Study and interconnection agreement may be delayed preventing energization of Segment 4 for milestone 1	
082	Unexpected restrictions could affect construction progress: <> night work <> noise <> local roads <> local ordinances	<ul style="list-style-type: none"> • Reduced production rates. • Delay
270	OCS poles or structures as designed by Contractor fall outside of JPB row	Additional ROW Take, additional cost and time
012	Potential for electromagnetic interference (EMI) to private facilities with sensitive electronic equipment caused by vehicles.	<ul style="list-style-type: none"> • Increased cost due to mitigation • Potential delay due to public protests or environmental challenge.
014	Contractor's proposal on stakeholder requested changes to the vehicles (e.g., High Level Doors in lieu of windows as emergency exits) may significantly exceed JPB authorized amount.	<p>Schedule delay.</p> <p>Cost increase.</p>
078	Need for unanticipated, additional ROW for new signal enclosures.	Delay while procuring ROW and additional ROW costs.
087	Unanticipated HazMat or contaminated hot spots encountered during foundation excavations for poles, TPSS, work at the yards.	Increased cost for clean-up and handling of materials and delay to schedule due to HazMat procedures.
088	Construction safety program fails to sufficiently maintain safe performance.	Work stoppages due to safety incidents resulting in schedule delay and additional labor costs.
171	Electrification facilities could be damaged during testing.	Delay in commencing electrified operations.
247	Timely resolution of 3rd party design review comments to achieve timely approvals	Delay to completion of design and associated additional labor costs.
251	Subcontractor and supplier performance to meet aggressive schedule <>Potential issue meeting Buy America requirements	Delay to production schedule resulting in increased soft costs and overall project schedule delay.
272	Final design based upon actual Geotech conditions	Could require changes
287	Design changes may necessitate additional implementation of environmental mitigations not previously budgeted.	Increased cost for environmental measures and delays to construct and overall delay in construction schedule

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ID	RISK DESCRIPTION	EFFECT(S)
289	Coordination and delivery of permanent power for power drops for everything except traction power substations along alignment	Can't test resulting in delays to schedule and associated additional project costs.
291	Order/manufacture of long lead items prior to 100% IFC design document that proves to be incorrect	Design change and/or delays
292	Potential that UPS will not fit in the spaces allotted to communications work within the buildings.	Requisite backup capacity units under design criteria could result in the need for larger unit than originally planned resulting in design and fabrication changes and associated schedule delays and costs.
304	Solution to FRA concerns over bike storage impeding path to emergency exit windows path results in increased costs and potential rework.	Protracted negotiations with FRA to achieve original design
317	JPB may not make timely acquisition of resources to staff rail activation plan with key personnel.	Delay in operating electrified railroad - delay of RSD.
323	FRA concerns require re-design	
326	EMU production delay. Possible that there are failed factory tests	Schedule Increase
027	Vehicle power consumption may not meet requirements. <>System impact study and load flow show no issues	Issue with PG&E. Can't run full acceleration.
031	New cars possibly not reliable enough to be put into service as scheduled	Operating plan negatively impacted
042	Full complement of EMUs not available upon initiation of electrified revenue service	Late delivery impacts revenue service date.
101	PG&E may not be able to deliver permanent power for the project within the existing budget and in accordance with the project schedule	Additional project costs; potential delay to revenue service date
150	Number of OCS pole installation is significant. Any breakdown in sequencing of operations or coordination of multiple crews will have a substantial effect on the project.	Delay.
245	Failure of BBI to submit quality design and technical submittals in accordance with contract requirements <ul style="list-style-type: none"> • \$3-\$5M/month burn rate for Owner's team during peak 	Delays to project schedule and additional costs for preparation and review of submittals.

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ID	RISK DESCRIPTION	EFFECT(S)
252	Failure of BBI to order/manufacture long lead items prior to 100% IFC design document approval by JPB	Delays to project schedule and additional cost for contractor and JPB staff time.
271	Need for additional construction easements beyond that which has been provided for Contractor proposed access and staging	Additional cost and time
306	Possible legal challenge and injunction to any changes in PCEP requiring subsequent CEQA or NEPA environmental clearance documentation/actions.	Worst case: a judge issues an injunction, which would prohibit any work ONLY on the project scope of the environmental document. Impact to the project from cost and schedule impact depends on if work is on the critical or becomes on the critical path.
008	Requests for change orders after vehicles are in production	Delays to manufacturing of vehicles and additional design and manufacturing costs.
023	Manufacturer cannot control vehicle weight to meet specifications.	Increased operating cost.
025	Potential that vehicles cannot meet requirements for "Mean Time to Repair" (MTTR).	Increased maintenance cost.
032	Failure to come up to speed on stakeholder safety requirements: <> FTA <> FRA <> CPUC	Takes longer than expected to gain FRA/FTA concurrence on waiver and/or level boarding requirements.
053	Failure to meet Buy America requirements. (Contractor definition of component v. sub-component may not be accepted by Caltrain / FTA.)	Potential need for negotiations that might lead to delay of project award. (BA is not negotiable)
054	Infrastructure not ready for vehicles (OCS, TPS, Commissioning site / facility).	Increases cost if done off property
069	Potential need for additional construction easements. Especially for access and laydown areas. Contractor could claim project is not constructible and needs more easements after award.	Increased cost Delay

ID	RISK DESCRIPTION	EFFECT(S)
106	<p>Potential that DB contractor will have insufficient field resources (personnel or equipment) to maintain aggressive schedule.</p> <p>Multiple segments will need to be under design simultaneously.</p> <p>Labor pool issue. 32 qualified linemen will be needed. Potential there is not enough available. Big storm damage anywhere in US will draw from the pool to make line repairs.</p> <p>Possible shortages with other specialty crafts as well.</p>	Delay.
151	Public could raise negative concerns regarding wheel/rail noise.	Increased cost to mitigate: <> grind rails <> reprofile wheels <> sound walls
161	Unanticipated costs to provide alternate service (bus bridges, etc.) during rail service disruptions.	Cost increase.
192	Environmental compliance during construction. - Potential impact to advancing construction within the vicinity of any cultural finds that are excavated. - Failure to meet the commitments contained within the PCEP EA, FEIR and permit conditions	<ul style="list-style-type: none"> • Delay • Cost increase
195	Introduction of electrified train service will require training of first responders in working in and around the rail corridor. The new vehicles will be considerably quieter than the existing fleet and the presence of high voltage power lines will require new procedures for emergency response. A new training program will need to be developed and disseminated for: <ul style="list-style-type: none"> • Fire, police, and first responders • Local communities • Schools 	Safety hazards resulting in incidents that delay construction and increase labor cost. Delays in RSD until training is completed as requirement of safety certification process.

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ID	RISK DESCRIPTION	EFFECT(S)
237	JPB needs an agreement with each city in which catenary will be strung over an existing grade crossing (17 in all) under GO 88 (grade crossings). These agreements must be executed subsequent to installing overhead catenary. JPB is preparing a response to CPUC while working with the cities. Delays in reaching agreement could have impacts on schedule and budget.	Not completing the grade crossing diagnostics and getting agreement from the cities on the results can result in delays to necessary approvals for the project and revenue service.
248	3rd party coordination <>Jurisdictions, Utilities, UP, Contractors <>D/B needs to provide timely information to facilitate 3rd party coordination <>Risk is for construction	Delays in approvals resulting in project schedule delays and associated costs.
250	Potential for municipalities and other agencies to request betterments as part of the electrification project	Delay to project schedule in negotiating betterments as part of the construction within municipalities and associated increased cost to the project as no betterments were included in the project budget.
254	Potential that bridge clearance data are inaccurate and that clearances are not sufficient for installation of catenary.	Results in additional design and construction to create sufficient clearance.
266	Verizon poles in conflict with OCS may not be removed in advance of OCS installation.	Delay in progress of catenary installation resulting in claims and schedule delay
274	JPB as-built drawings and existing infrastructure to be used as basis of final design and construction is not correct	Additional cleanup of as-builts after PCEP construction
275	DB fails to verify as-built drawings and existing infrastructure	Additional cleanup of as-builts after PCEP construction
278	Failure of D/B contractor and subcontractors and suppliers to meet Buy America requirements	Delays while acceptable materials are procured and additional costs for delays and purchase of duplicative equipment.
282	Failure to maintain dynamic envelope and existing track clearances consistent with requirements.	Redesign entailing cost and schedule impacts.
284	Compliance with project labor agreement could result in inefficiencies in staffing of construction.	Increase in labor costs and less efficient construction resulting in schedule delays.
290	Delays in agreement and acceptance of initial VVSC requirements database.	Delay to design acceptance
293	Readiness of 115kV interconnect for temporary power to support testing	Delay in testing

ID	RISK DESCRIPTION	EFFECT(S)
311	Although project recordable injuries remain below the industry average, there have been numerous small impact incidents occurring that could potentially lead to a more serious event occurring.	The occurrence of a high impact safety event could result in project rework, construction delays, and increased project costs.

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Appendix G – MMRP Status Log

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	X	X			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has utilized the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW.
AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.	X				Ongoing	The design requirements indicated in the measure have been implemented as described, and coordination with the specific jurisdictions regarding pole colors and design is ongoing. Coordination with the JPB & local jurisdiction regarding Overbridge Protection Barriers and TPFs is ongoing.
AES-4a: Minimize spillover light during nighttime construction.		X			Ongoing	OCS construction began the week of October 2, 2017; and the BBI community relations lead has notified nearby residents of upcoming construction. During construction, lighting is faced inward, towards the railroad tracks, and any complaints will be documented and addressed by the BBI community relations lead.
AES-4b: Minimize light spillover at TPFs.	X				Upcoming	The design requirements indicated in the measure are being utilized in the design and construction process.
AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.	X	X			Ongoing	The Dust Mitigation Plan was submitted to the JPB and approved. The requirements in the Dust Mitigation Plan will be implemented throughout the construction period and documented in daily reports.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB and approved. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB and approved. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
BIO-1a: Implement general biological impact avoidance measures.	X	X			Ongoing	Worker Environmental Awareness Training is provided to all project-related personnel before they work on the project. All measures as described will be implemented throughout the construction period and documented in daily reports.
BIO-1b: Implement special-status plant species avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect special-status plant species. The measure is not needed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for CRLF and SFGS. The Wildlife Exclusion Fencing Plans for Segments 1 and 4 were submitted and approved by the wildlife agencies, and installation and monitoring of wildlife exclusion fencing is ongoing. No CRLF / SFGS or sign of each species has been observed to date on the Project.
BIO-1d: Implement western pond turtle avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for WPT. No WPT or WPT sign have been observed to date on the Project.
BIO-1e: Implement Townsend’s big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities with the potential to disturb bats or their habitat. No special-status bats or sign have been observed to date on the Project.
BIO-1f: Implement western burrowing owl avoidance measures.	X	X			Ongoing	Protocol surveys for Western Burrowing Owl have been conducted from April–July, in 2017, 2018, and 2019, at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls have been observed during the 2017-2019 surveys. Survey reports for the 2017, 2018, and 2019 surveys have been submitted to the JPB for the project

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						<p>record. In addition, pre-construction surveys of the potential BUOW habitat areas in Segment 4 are ongoing, as needed, and if required, they occur no more than 7 days prior to the onset of new ground-disturbing construction activities. Surveys for the 2020 breeding season will commenced in March 2020. On March 24, 2020, two burrowing owls were observed adjacent to the Caltrain ROW, near MP 44.6. The owls were located approximately 150 feet away from the Caltrain ROW. A 200-meter no-disturbance buffer continued to be implemented during the reporting period. Balfour was granted approval by the CDFW to drive vehicles and equipment through the buffer in order to access foundation installation locations to the North and South of the BUOW. During the first week of mobilization through the buffer, a Qualified Biological Monitor provided full-time biological monitoring to determine if the presence of vehicle travel had any impact on the BUOW. No impacts to the BUOW were observed, and the BUOW was consistently observed at the northern most potential BUOW burrow location during the monitoring effort. Due to the lack of observed impacts to the BUOW during the monitoring effort, the CDFW subsequently approved weekly spot-checks through the end of the breeding season, which are currently ongoing, and continued through August 31, 2020. No signs of distress from the</p>

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						owl were observed due to construction activities during weekly spot checks. In addition, since there is some potential for indirect impacts during the non-breeding season (September 1 through January 31), during ongoing work on the Caltrain ROW and the completion of OCS pole foundations, the CDFW approved the reduction of the disturbance buffer from 200 meters down to 75 meters. The Qualified Biologist will monitor the burrows during construction activities within 75 meters of the burrows to look for any changes in owl foraging behavior in response to construction activities. If any change in owl nesting and foraging behavior is observed because of construction activities, activities will cease within the 75-meter buffer and the CDFW will be notified to determine next steps.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	X	X			Ongoing	Nesting Bird and raptor surveys were conducted from February 1 through September 15, in 2017, 2018 and 2019, prior to project-related activities with the potential to impact nesting birds. Nesting Bird Surveys recommenced on February 1, 2020 for the 2020 nesting season (February 1, 2020) and continued through this reporting period. During this reporting period, no nesting activity was observed.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	X	X			Ongoing	The agency-approved Qualified Biologist has conducted surveys of the staging areas currently being used for construction activities. No special-status species or other potentially sensitive biological resources were observed. The agency-approved Qualified Biologist will continue to survey ahead of the initiation of activities at planned staging areas as the Project moves into new construction areas.
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	X	X			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				X	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.
BIO-3: Avoid or compensate for impacts on wetlands and waters.	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a regular basis.
BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				Upcoming	To be implemented prior to construction in tunnels. Historic American Engineering Record (HAER) documentation was completed in October 2018, pursuant to this measure.
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1d: Implement design commitments at historic railroad stations	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.
CUL-1f: Implement historic bridge and underpass design requirements.	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
unique archaeological resources under PRC 21083.2 are present.						Report will be provided at the conclusion of construction activities.
CUL-2b: Conduct exploratory trenching or coring of areas where subsurface project disturbance is planned in those areas with “high” or “very high” potential for buried site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						present for all exploratory trenching and subsurface testing work.
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
GEO-4a: Identification of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.
GEO-4b: Mitigation of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design by the D-B as described. Geotechnical studies are being conducted by Parikh under subcontract with PGH Wong. Studies and results are submitted to JPB as completed.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
HAZ-2b: Implement engineering controls and best management practices during construction.	X	X			Ongoing	D-B field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, assessments of existing subsurface pipes by a certified Asbestos Consultant are occurring as needed throughout the project as they are observed. Following the assessments, a specification describing the methods for removal and disposal are provided to the certified asbestos contractor. The removal and disposal work performed by the certified asbestos contractor is monitored by the certified asbestos consultant.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes hardscape only to required structure foundations; yard areas are to receive a pervious material.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	X			X	Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain.
HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
NOI-1a: Implement Construction Noise Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. If allowable noise levels are near or exceed allowable noise levels, mitigation such as blankets are used from that point forward.
NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. PGH Wong has completed analysis and design and issued for JPB review.
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.

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Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
PSU-8a: Provide continuous coordination with all utility providers.	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.
TRA-1a: Implement Construction Road Traffic Control Plan.	X	X			Ongoing	The D-B has begun traffic control design and permit applications with the City of Millbrae, Burlingame and San Mateo. Other communities will follow. Designs have been completed for all cross-over bridges in Segments 2 & 4 and submitted.
TRA-1c: Implement signal optimization and roadway geometry improvements at	X	X			Upcoming	This measure has not started

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
impacted intersections for the 2020 Project Condition.						
TRA-2a: Implement construction railway disruption control plan.	X	X			Ongoing	Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented.
TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.	X	X	X		Upcoming	This measure has not started.
TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in Caltrain's Bicycle Access and Parking Plan.				X	Ongoing	The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds				X	Upcoming	This measure will be implemented during project operation.
NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations				X	Upcoming	This measure will be implemented during project operation.
TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th Street crossing. This measure no longer applies.
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance as feasible between San Jose and Bayshore.				X	Upcoming	This measure will be implemented during project operation.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AES-2a: Minimize OCS construction activity on residential and park areas outside the Caltrain ROW.	X	X			Ongoing	The OCS proposed construction schedule has been provided to the JPB. OCS construction began the week of October 2, 2017. The D-B has used the potholing process to assist in locating conflicts in the 35% design and attempting to relocate OCS pole locations within the ROW, thereby avoiding parks and residential areas.
AES-2b: Aesthetic treatments for OCS poles, TPFs in sensitive visual locations, and Overbridge Protection Barriers.	X				Ongoing	The design requirements indicated in the measure have been implemented as described, and coordination with the specific jurisdictions regarding pole colors and design, TPFs, and Overbridge Protection Barriers, is ongoing.
AES-4a: Minimize spillover light during nighttime construction.		X			Ongoing	OCS construction began the week of October 2, 2017. The BBI community relations lead has notified nearby residents of upcoming construction. During construction, lighting is faced inward, towards the railroad tracks, and any complaints will be documented and addressed by the BBI community relations lead.
AES-4b: Minimize light spillover at TPFs.	X				Upcoming	The design requirements indicated in the measure are being used in the design process of the TPFs.
AQ-2a: Implement BAAQMD basic and additional construction mitigation measures to reduce construction-related dust.	X	X			Ongoing	The Dust Mitigation Plan was submitted to the JPB. The requirements in the Dust Mitigation Plan will be implemented throughout the construction period and documented in daily reports.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
AQ-2b: Implement BAAQMD basic and additional construction mitigation measures to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
AQ-2c: Utilize clean diesel-powered equipment during construction to control construction-related ROG and NOX emissions.	X	X			Ongoing	The Equipment Emissions Control Plan was submitted to the JPB. The requirements in the Equipment Emissions Control Plan will be implemented throughout the construction period and documented in daily reports.
BIO-1a: Implement general biological impact avoidance measures.	X	X			Ongoing	Worker Environmental Awareness Training is provided to all project-related personnel before they work on the project. All measures as described will be implemented throughout the construction period and documented in daily reports.
BIO-1b: Implement special-status plant species avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect special-status plant species. The measure is not needed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1c: Implement California red-legged frog and San Francisco garter snake avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for CRLF and SFGS. The Wildlife Exclusion Fencing Plan for Segments 2 and 4 was submitted and approved by the wildlife agencies, and installation and monitoring of wildlife exclusion fencing is ongoing. No CRLF / SFGS or sign of each species has been observed to date on the Project. A separate Wildlife Exclusion Fencing Plan will be submitted for Segments 1 and 3, prior to initiation of construction activities in those segments.
BIO-1d: Implement western pond turtle avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities nearby/adjacent to potential habitat for WPT. No WPT or WPT sign have been observed to date on the Project.
BIO-1e: Implement Townsend's big-eared bat, pallid bat, hoary bat, and fringed myotis avoidance measures.	X	X			Ongoing	Pre-construction surveys are occurring no more than 7 days prior to the initiation of construction activities with the potential to disturb bats or their habitat. No special-status bats or sign have been observed to date on the Project.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-1f: Implement western burrowing owl avoidance measures.	X	X			Ongoing	Protocol surveys for Western Burrowing Owl were conducted from April 2017 through July 2017 at previously identified potentially suitable habitat locations. Note that all of these locations are in Construction Segment 4 (southern Santa Clara and San Jose). No Burrowing Owls were observed during the surveys. Construction in Segment 4 is anticipated to occur in 2018. Prior to construction activities in Segment 4, pre-construction surveys of the potential habitat areas will occur no more than 7 days prior to the onset of construction activities. In addition, protocol surveys were initiated in March 2018, and were completed in June 2018, at the previously identified potentially suitable habitat locations, which will allow work to occur during the 2019 breeding season, if necessary. No Burrowing Owls were observed during the 2018 surveys.
BIO-1g: Implement northern harrier, white-tailed kite, American peregrine falcon, saltmarsh common yellowthroat, purple martin, and other nesting bird avoidance measures.	X	X			Ongoing	Nesting Bird surveys were conducted from February 1 through September 15, 2017 prior to project-related activities with the potential to impact nesting birds. No active nests were observed during this reporting period. Nesting Bird surveys were initiated on February 1, 2018 and continued throughout the reporting period. Active nests were observed during this reporting period, and no-disturbance buffers were implemented to avoid any impacts to active nests, and all project activities which occurred nearby active nests

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						were monitored by agency-approved biological monitors.
BIO-1h: Conduct biological resource survey of future contractor-determined staging areas.	X	X			Ongoing	The agency-approved Qualified Biologist has conducted surveys of the staging areas currently being used for construction activities. No special-status species or other potentially sensitive biological resources were observed. The agency-approved Qualified Biologist will continue to survey ahead of the initiation of activities at planned staging areas as the Project moves into new construction areas.
BIO-1i: Minimize impacts on Monarch butterfly overwintering sites.	X	X			Ongoing	The agency-approved Qualified Biologist has periodically monitored the project limits to evaluate the presence of Monarch butterfly overwintering sites. No Monarch butterfly overwintering sites have been observed on the Project to date.
BIO-1j: Avoid nesting birds and bats during vegetation maintenance.				X	Upcoming	To be completed during Project operation.
BIO-2: Implement serpentine bunchgrass avoidance and revegetation measures.	X	X	X		Complete	Not applicable. Subsequent habitat assessment and avoidance of Communication Hill eliminated any potential to affect serpentine bunchgrass. This measure is no longer needed.

Peninsula Corridor Electrification Project
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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
BIO-3: Avoid or compensate for impacts on wetlands and waters.	X	X	X		Complete	The JPB has compensated for unavoidable wetland impacts by purchasing adequate credits from a wetlands mitigation bank approved by USACE and SFRWQCB.
BIO-5: Implement Tree Avoidance, Minimization, and Replacement Plan.	X	X	X		Ongoing	Tree removal and pruning activities were initiated in August 2017, and are ongoing, under the guidance of the BBI Arborist, and in accordance with the Tree Avoidance, Minimization, and Replacement Plan. Tree Removal and Pruning status is provided to the JPB on a weekly basis.
BIO-6: Pay <i>Santa Clara Valley Habitat Plan</i> land cover fee (if necessary).	X				Complete	Not applicable. The SCVHP does not apply to the Project because TPS2, Option 1 was not selected and OCS does not extend to Communication Hill. This measure is not needed.
CUL-1a: Evaluate and minimize impacts on structural integrity of historic tunnels.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1b: Minimize impacts on historic decorative tunnel material.	X				Upcoming	To be implemented prior to construction in tunnels.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1c: Install project facilities in a way that minimizes impacts on historic tunnel interiors.	X				Upcoming	To be implemented prior to construction in tunnels.
CUL-1d: Implement design commitments at historic railroad stations	X				Complete	The Qualified Architectural Historian completed and submitted the HABS Level III documents to the JPB for all seven of the historic stations. Pole placement has been designed to minimize the visual impact to historic stations and all design changes are reviewed by the Environmental Compliance Lead to ensure the mitigation measure is being implemented as the design of the project progresses.
CUL-1e: Implement specific tree mitigation considerations at two potentially historic properties and landscape recordation, as necessary.	X	X			Complete	It was determined that the project is not acquiring any ROW at either of the subject properties so all tree effects would be within the JPB ROW. Therefore, the APE does not include these two historic properties. This measure is no longer needed.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-1f: Implement historic bridge and underpass design requirements.	X				Ongoing	This measure is being implemented as described during the design process and will be incorporated into the final design. The four bridges that are included in the MMRP are rail bridges crossing over another feature. Design of the OCS system is taking into account that there are requirements that restrict the design. Thus far, the designs for Construction Segments 2 & 4 are in process and designs are not yet complete. The D-B will forward to the Architectural Historian once complete.
CUL-2a: Conduct an archaeological resource survey and/or monitoring of the removal of pavement or other obstructions to determine if historical resources under CEQA or unique archaeological resources under PRC 21083.2 are present.	X				Ongoing	Periodic inspections of ground surface areas along the alignment, in conjunction with cultural monitoring as-needed of project activities in culturally sensitive areas are ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.
CUL-2b: Conduct exploratory trenching or coring of areas where subsurface project disturbance is planned in those areas with “high” or “very high” potential for buried site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-2c: Conduct limited subsurface testing before performing ground-disturbing work within 50 meters of a known archaeological site.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2d: Conduct exploratory trenching or coring of areas within the three zones of special sensitivity where subsurface project disturbance is planned.	X				Ongoing	Exploratory trenching and subsurface testing of all potentially culturally sensitive areas occurred prior to the initiation of construction activities in those areas. The results will be included in the Archaeological Final Report. No cultural resources requiring the development of a treatment plan were observed. A Native American monitor has been present for all exploratory trenching and subsurface testing work.
CUL-2e: Stop work if cultural resources are encountered during ground-disturbing activities.	X	X			Ongoing	No prehistoric or historic-period cultural materials have been observed during cultural monitoring.
CUL-2f: Conduct archaeological monitoring of ground-disturbing activities in areas as determined by JPB and SHPO.		X			Ongoing	Cultural monitoring as-needed of project activities in culturally sensitive areas is ongoing. The Archaeological Final Report will be provided at the conclusion of construction activities.

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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
CUL-3: Comply with state and county procedures for the treatment of human remains discoveries.		X			Ongoing	No human remains have been observed to date on the Project.
EMF-2: Minimize EMI effects during final design, Monitor EMI effects during testing, commission and operations, and Remediate Substantial Disruption of Sensitive Electrical Equipment.	X	X	X		Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Designs are submitted and reviewed/commented on by JPB. Monitoring EMI effects will occur post construction.
GEO-1: Perform a site-specific geotechnical study for traction power facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.
GEO-4a: Identification of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
GEO-4b: Mitigation of expansive soils.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Geotechnical studies and results are submitted to JPB as completed.
HAZ-2a: Conduct a Phase II Environmental Site Assessment prior to construction.	X				Complete	A Phase II Environmental Assessment was completed prior to construction by the JPB consultant, and the results were provided to BBI, and the required mitigation is being implemented prior to the initiation of construction activities.
HAZ-2b: Implement engineering controls and best management practices during construction.	X	X			Ongoing	Field activities are being monitored daily for significant color changes or odors which may indicate contamination. In addition, an assessment of two existing subsurface pipes by a certified Asbestos Consultant occurred during this reporting period, and a specification describing the methods for removal and disposal is currently in progress.
HYD-1: Implement construction dewatering treatment, if necessary.	X	X			Ongoing	Facilities & BMPs are in place to deal with this requirement should it arise in the OCS foundations.
HYD-4: Minimize floodplain impacts by minimizing new impervious areas for TPFs or relocating these facilities.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design minimizes

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
						hardscape only to required structure foundations; yard areas are to receive a pervious material.
HYD-5: Provide for electrical safety at TPFs subject to periodic or potential flooding.	X			X	Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. The TPFs in Construction Segments 2 & 4 are currently in final design and design for TPFs in Construction Segments 1 & 3 has begun. The design plan currently raises the TPFs above the floodplain.
HYD-7: Implement sea level rise vulnerability assessment and adaptation plan.				X	Ongoing	The JPB has initiated this measure and preparation of the sea level rise vulnerability assessment and adaptation plan is underway.
NOI-1a: Implement Construction Noise Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan. If allowable noise levels are near or exceed allowable noise levels, mitigation such as blankets are used from that point forward.
NOI-1b: Conduct site-specific acoustical analysis of ancillary facilities based on the final mechanical equipment and site design and implement noise control treatments where required.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. Design is still in process and a noise study is currently being performed.

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
NOI-2a: Implement Construction Vibration Control Plan.	X	X			Ongoing	The Noise and Vibration Control Plan has been submitted and is being implemented. Field activity is monitored per the Plan.
PSU-8a: Provide continuous coordination with all utility providers.	X	X			Ongoing	The design requirements indicated in the measure will be implemented through the final design as described. Coordination with utility providers is ongoing and there have not been any service interruptions thus far.
PSU-8b: Adjust OCS pole foundation locations.	X				Ongoing	The design requirements indicated in the measure are being implemented through the final design as described.
PSU-8c: Schedule and notify users about potential service interruptions.	X	X			Ongoing	The design requirements indicated in the measure are being implemented through the final design as described. There have not been any service interruptions thus far.
PSU-9: Require application of relevant construction mitigation measures to utility relocation and transmission line construction by others.	X	X			Ongoing	JPB has initiated coordination with PG&E regarding transmission line construction. PG&E is currently raising overcrossing lines in Segment 2.

Peninsula Corridor Electrification Project
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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
TRA-1a: Implement Construction Road Traffic Control Plan.	X	X			Ongoing	The D-B has begun traffic control design and permit applications with cities in Segments 2 and 4. Designs have been completed and approved for all cross-over bridges in Segments 2 and 4.
TRA-1c: Implement signal optimization and roadway geometry improvements at impacted intersections for the 2020 Project Condition.	X	X			Upcoming	This measure has not started
TRA-2a: Implement construction railway disruption control plan.	X	X			Ongoing	Minimization of railway disruption is being coordinated by the Site Specific Work Plan. A Construction Railway Disruption Control Plan was prepared to document the measures that are being implemented.
TRA-3b: In cooperation with the City and County of San Francisco, implement surface pedestrian facility improvements to address the Proposed Project's additional pedestrian movements at and immediately adjacent to the San Francisco 4th and King Station.	X	X	X		Upcoming	This measure has not started.
TRA-4b: Continue to improve bicycle facilities at Caltrain stations and partner with bike share programs where available following guidance in				X	Ongoing	The JPB adopted the Caltrain Bicycle Parking Management Plan in November 2017, and staff have been working to implement the Plan's recommendations to improve wayside bike parking facilities along

Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
Caltrain's Bicycle Access and Parking Plan.						the corridor. Staff have also been coordinating with local jurisdictions that have launched bikeshare pilot programs to safely site bicycles near Caltrain stations.
NOI-CUMUL-1: Implement a phased program to reduce cumulative train noise along the Caltrain corridor as necessary to address future cumulative noise increases over FTA thresholds				X	Upcoming	This measure will be implemented during project operation.
NOI-CUMUL-2: Conduct project-level vibration analysis for Blended System operations and implement vibration reduction measures as necessary and appropriate for the Caltrain corridor				X	In Progress	CHSRA is conducting this analysis as part of the EIR/EIS for the San Francisco to San Jose section.
TRA-CUMUL-1: Implement a phased program to provide traffic improvements to reduce traffic delays near at-grade crossings and Caltrain stations				X	Upcoming	This measure will be implemented during project operation.
TRA-CUMUL-2: Implement technical solution to allow electric trolley bus transit across 16 th Street without OCS conflicts in cooperation with SFMTA.	X				Complete	Not applicable. SFMTA has elected to not electrify the 16 th Street crossing. This measure no longer applies.
Mitigation Measure TRA-CUMUL-3: As warranted, Caltrain and freight operators will partner to provide Plate H clearance				X	Upcoming	This measure will be implemented during project operation.

Peninsula Corridor Electrification Project
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Mitigation Monitoring and Reporting

Mitigation Measure	Mitigation Timing				Status	Status Notes
	Pre-Construction	Construction	Post-Construction	Operation		
as feasible between San Jose and Bayshore.						

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 – OCTOBER 2020**

ACTION

Staff Coordinating Council recommends that the Board receive the Positive Train Control (PTC) report for OCTOBER 2020.

SIGNIFICANCE

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

BUDGET IMPACT

There is no budget impact.

MONTHLY UPDATE

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

<u>Key Project Activity</u>	<u>Expected Completion</u>	<u>Progress as of 10/13/20</u>	<u>Progress On Track?</u>	<u>Mitigation Required or Approvals Needed</u>
Approval of Designated Revenue Service Demonstration (RSD) Test Request	May 31 st	Completed	Completed	Formal conditional approval received on September 10. Team incorporating FRA conditions in test plan to ensure compliance to approval
Approval of revised project PTC Implementation Plan (PTCIP) and Request for Amendment (RFA)	May 31 st	Completed	Completed	Formal approval received on May 16, 2019 for PTCIP and RFA Rev. 10
Pilot Installations (4) Completed	June 20 th	Completed	Completed	All pilots completed
Submit Designated RSD Application	Oct 15 th	Completed	Completed	RSD Application submitted and in review by FRA
Submit Full Track RSD Application	June 7 th	Completed	Completed	Formal RSD request for full track was submitted to the FRA on June 14, 2019
Complete Critical Feature Verification & Validation (V&V) for Designated Track RSD	Oct 30 th	Completed	Completed	
Complete Designated RSD Training	Nov 14 th	Completed	Completed	Training for designated RSD personnel completed
Complete Required Vehicle Installations (44 Units)	Dec 3 rd	Completed	Completed	(44) Installs required for RSD completed, punch list items were completed by Wabtec
Meet FRA Statutory Requirements and Substitute Criteria	Dec 31	Completed	Completed	Met FRA December 31, 2018 deadline
Obtain Alternative Schedule approval from FRA	Mar 15 th 2019	Completed	Completed	Received FRA's approval on February 6, 2019
Completion of Remaining Vehicle Installation (all 66 units)	April 30, 2019	Completed (66 Units)	Completed (66 Units)	The installation for F40PH 3C Rehab vehicle 922 was completed in June that concluded all 66 units PTC installation.
Full RSD - Complete Remaining Critical Feature V&V	Jan 2019	Completed	Completed	
Full RSD – Complete Wayside Interface Unit (WIU) V&V	March 15, 2019	Completed	Completed	Completed on March 15, 2019

Key Project Activity	Expected Completion	Progress as of 10/13/20	Progress On Track?	Mitigation Required or Approvals Needed
Full RSD – Complete Lab Integrated End to End Testing (LIEE)	June 30, 2019	Completed	Completed	LIEE Cycle 3 was completed ahead of schedule on June 12, 2019
Full RSD – Complete Field Integrated Testing (FIT)	August 2019	Completed	Completed	Full track FIT has completed on June 30, 2019
Full RSD – Complete Field Qualification Testing (FQT)	September 2019	Completed	Completed	Full track FQT has completed on July 14, 2019
*Commence Full RSD – Caltrain ROW	October 2019	Completed	Completed	Caltrain has successfully entered RSD on September 07, 2019
Complete Lab Integrated End to End Testing for Interoperability with UPRR (LIEE-I)	October 2019	Completed	Completed	LIEE-I with UPRR was completed on October 15
*Complete Interoperability Testing with UPRR - Both ROW	December 2019	Completed	Completed	Interoperable Test with UPRR on both territories were completed on Nov 5 th , 2019
*Complete Interoperability Testing with Tenant Railroads - ACE	April 30 2020	Completed	Completed	Interoperable Test with ACE was completed on Nov 17, 2019
*Complete Interoperability Testing with Tenant Railroads - AMTRAK	April 30 2020	Completed	Completed	Interoperable field testing was concluded on Feb 8, 2020
Achieve Interoperability with UPRR	Dec 31, 2019	Completed	Completed	Accomplished on December 9, 2019
Achieve Interoperability with other Tenants	April 30, 2020	Completed	Completed	Accomplished Interoperable with ACE on December 9, 2019. Interoperable Operation with Amtrak was achieved on Feb 26, 2020
Submit Caltrain PTC Safety Plan to the FRA	June 30, 2020	Completed	Completed	Project submitted the PTCSP on June 25, 2020
Complete Caltrain PTC Implementation	December 2020	Plan	Yes	

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

1. Major Wabtec activities for October 2020:

- o Continued to provide technical support for RSD trouble shooting and addressed defect items with support from WABTEC PTC help-desk.
- o Completed BCCF/CCF Cutover BOS one system installation and Testing effort
- o Successfully deployed I-ETMS on-board software 6.3.19.3 in production.
- o Completed lab testing for new PTC Track data subdiv 9029 in support of PCEP Segment 4 phase 1 signal cutover.
- o Developed Field Regression Testing Plan for I-ETMS on-board software 6.3.20.1
- o Completed redundant network path between CCF & BCCF datacenters effort and submitted test results for Caltrain review.
- o Completed BCCF Integrated Lab hardware configuration for future training purpose.
- o Continued updating MDMs in support of tenant operations.
- o Commenced Interoperable operations with 6 UPRR foreign railroads in October 2020.
- o Completed Emergency Operations Center (EOC) final design and commenced equipment installation effort.

2. Vehicle Installation:

Wabtec completed installation of 66 I-ETMS modules on the Caltrain locomotives and cab cars. The table below summarizes number of modules installed by vehicle type.

I-ETMS On-Board Installation Progress (As of 7/15/20)			
Equipment	Completed	In Progress	Pending
F40	23	0	0
MP36	6	0	0
Bombardier Cab	9	0	0
NS Gallery Cab	26	0	0
MP1500	2	0	0
Total	66	0	0
%	100%	0%	0%

3. Other Key Activities for October of 2020:

This section reports on PTC project general progress and issues being performed and tracked in addition to the Wabtec contract during the current reporting month.

- o Herzog Technologies Incorporated (HTI) data collection team and PTC project team continued producing PTC weekly and monthly reporting to the FRA per the RSD conditional approval requirements for the extended RSD.
- o PTC helpdesk continues to support PTC operation since commencement of RSD with support from Tier 1 and Tier 2 systems support staff for daily PTC operations.
- o Defect-tracking meetings are held to continue monitoring reliability of the PTC system and address any critical anomalies and defects by system engineering (Tier 2) and WABTEC/ARINC (Tier 3) as needed.
- o Caltrain is meeting with UPRR and other tenants on bi-weekly basis to address any technical and operational issues related to PTC interoperable operations.
- o Weekly ARINC coordination meeting is held to address operational systems maintenance and modification work, the live operational systems are Rail Operations Control System (ROCS), Passenger Predictive Train Arrival/Departure System (PADS) and Voice Radio Dispatching System (RDS), which are residing in the CCF and BCCF to support rail operations.
- o BCCF/CCF cutover technical coordination meeting with ARINC and Wabtec is held weekly focusing on one-system design, installation and testing activities. Caltrain is planning to complete BCCF/CCF cutover by early November 2020.
- o The PTC project continues its coordination efforts with the Electrification and EMU programs via regularly scheduled System Integration Meetings held by PCEP. Ad hoc meetings to discuss topics requiring in-depth or immediate decisions are held as needed. PTC system team continued participating and coordinating with PCEP delivery team in support of upcoming electrification project segment 4 phase 1 signal cutovers. The first cutover is scheduled in October 17 2020.
- o Caltrain Configuration Control Board (CCB) continued review and approval of configuration changes that affect rail operations systems and infrastructure by following Caltrain Configuration Management plan and process.
- o Caltrain Systems team actively involved in PTC Interoperable Change Management process through Interoperable Change Approval Board (ICAB).
- o Established new network firewall and will commence migration effort with Wabtec and ARINC.
- o Submitted Wireless Crossing technical presentation for Caltrain's review

4. Change Order Log:

Project has executed contract Amendment two for the total of \$724,010. This Amendment two includes two change orders for the work related to 1) UPRR third party railroad interoperable testing (6 railroads total) for the amount of \$602,577; 2) the diverse redundant network path between CCF & BCCF datacenters for the amount of \$121,433. Wabtec contract amendment one was for \$1.42 M related to interoperability and the communications system.

The funds for both amendments were taken from potential change budget and contingency as part of original board approved \$89.41M project

5. Risk Management:

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

Caltrain and Wabtec jointly review the shared risk register as the project progresses. Caltrain will provide update for any realized risks that are identified and agreed upon by both parties.

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
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 approvals required to achieve full system certification.
Interoperability delays	External	Caltrain is working with UPRR and tenants to ensure agreed to interoperability schedule dates are maintained – Risks were mitigated, Interoperability with UPRR, Amtrak, and ACE were achieved.
Track access delays	Internal	Ensure field test schedule is maintained by coordinating all fieldwork in combination with other capital project's needs, particularly the PCEP project – Risk were mitigated, Caltrain has entered RSD and achieved interoperability with all tenants.
Back Office Server (BOS) documentation scope creep	Internal	Risk is mitigated by working with Wabtec to ensure future BOS software releases meet requirements of Caltrain PTC operations. Caltrain subscribes standard Interface Control Documentation (ICD) through AAR for future BOS release.
Key Exchange Server Solution	Internal	Implementation of Caltrain Key Exchange Server timely to support Interoperability Testing with UPRR. KES production test was completed in October 2019. Caltrain has been interoperable with all tenants. The Long-term communication MPLS solution was finalized and installation is in planning following COVID 19 travel and social distance guidelines.

Risk Item	Type	Mitigation Action
Maintenance of existing Assets Data Communications, Wayside Infrastructure and on-board equipment	Internal	Coordinated with Operations and TASI to ensure all assets including all documentation were done and handed off to Operations/TASI. PTC infrastructure are maintained by TASI and Project team continue to provide support as Tier 2/Tier 3 to ensure PTC is reliable for PTC Revenue Service Operations.

6. FRA Coordination Status:

- o Submitted PTCSP reference document and continued with FRA test monitor on Caltrain PTCSP review status
- o Continued weekly calls with FRA review team
- o Continued RSD Weekly and Monthly Reports to the Test Monitor
- o Received approval of V&V plan in support of PCEP Segment 4 Signal cutover

7. Caltrain Roadmap to Full RSD and Interoperability:

- o Caltrain is currently in Extended Revenue Service Demonstration and is fully interoperable with all tenants.
- o Completing and submitting the PTC Safety Plan to the FRA is the next big milestone in order to achieve overall system certification.
 1. Alternative Schedule was approved on February 6, 2019.
 2. Caltrain completed all field validation by the 1st quarter of 2019.
 3. Caltrain completed laboratory integrated testing for full track in April of 2019.
 4. Caltrain submitted the full track RSD application in June 2019 and received conditional approval of RSD in July 2019.
 5. Caltrain completed Field Integrated Testing (FIT) and Field Qualification Testing (FQT) for full track and has commenced RSD on September 7, 2019.
 6. Caltrain completed training TASI personnel to support full track RSD and PTC operations.
 7. Caltrain continues to roll out PTC trains; all 92 trains per weekday are under PTC as of the end of 2019.
 8. Caltrain completed interoperability laboratory testing with UPRR on August 12, 2019 for cycle one and subsequently cycle two on October 15, 2019.
 9. Caltrain has received Interoperability Test Request Conditional Approval from the FRA.
 10. Caltrain completed interoperability field-testing with UPRR on November 5 2019 and has achieved interoperability with UPRR on December 9, 2019.
 11. Caltrain has completed interoperability testing with ACE and started PTC operations on December 9, 2019. Caltrain commenced interoperability operations with Amtrak on February 26, 2020. Caltrain achieved interoperability requirements with all tenants.
 12. Caltrain has submitted the PTC Safety Plan (PTCSP) officially on June 25, 2020.
 13. Caltrain will receive conditional approval from the FRA and receive system certification by December 2020.

8. Cost – Spend vs Budget with Actuals and Accruals through September 2020

	(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 Accruals 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		
Caltain PTC Project (March 1, 2018 - June 30,2020):							
Integrator WABTEC Contract	\$ 43.01	\$ 2.15	\$ 45.16	\$ 36.76	\$ 45.16	\$ -	81.40%
Other Contractors	\$ 6.00	\$ -	\$ 6.00	\$ 2.95	\$ 6.00	\$ -	49.09%
Potential Changes	\$ 2.00	\$ (2.00)	\$ -		\$ -	\$ -	
Potential Incentive - WABTEC	\$ 2.00	\$ -	\$ 2.00	\$ 2.00	\$ 2.00	\$ -	100.00%
Other Program Costs	\$ 30.34	\$ -	\$ 30.34	\$ 20.73	\$ 29.98	\$ 0.37	69.15%
Project Contingency	\$ 6.06	\$ (0.15)	\$ 5.91		\$ 4.88	\$ 1.02	
Total PTC Project	\$ 89.41	\$ (0.00)	\$ 89.41	\$ 62.44	\$ 88.02	\$ 1.39	70.93%
Note:							
1). Expended and Accruals To-Date is through September 30, 2020;							
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 budget amount is set for future project change orders as result of WABTEC assessment and survey for the communications and office subsystems; Two change orders for amount of \$724,010 were executed as part of approved change orders.							
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.							
9). Negotiated additional scope items are included in WABTEC's contract amendment 1. There is no budget impact since project has budgeted adequate potential change for the amount of \$2MM (note no. 4 above) for added scope items. Current Project budget for WABTEC contract is updated to reflect added scope items and approved change orders.							
10). Other Program Costs EAC is increased from previous months to include FY21 systems support effort in order to offset Operating budget deficit caused by COVID-19.							

9. Upcoming Key Activities in November 2020:

- o Continue to support PTC RSD with operations, TASI PTC help desk, and Tier one support.
- o Complete BCC/CCF failover and cutover effort and enable live operations from BCCF
- o Continue data collection and PTC log analysis for PTC RSD weekly report to the FRA following RSD conditional approval requirements.
- o Continue to provide Tier 2 PTC system engineering support for tracking anomalies and addressing defect resolutions with Tier 3.
- o Continue interoperability operational coordination with all tenants via bi-weekly calls.
- o Continue MDM changes in support of interoperable operations.
- o Complete ATCS work field installation work once travel plan is confirmed.
- o Continue network assessment and design effort with CDW for Caltrain Rail System Virtualization Project, which will virtualizing PTC back office system.
- o Complete KES long-term MPLS/Cell installation effort for sprint circuit installation.
- o Continue following up with the FRA on Caltrain PTCSP conditional approval.
- o Complete signal V&V and deploy PTC data subdiv 9029 in support of PCEP Segment 4 first cutover.
- o Deploy I-ETMS on-board software 6.3.20.1.
- o Continue PTC contract close out effort for I-ETMS implementation work.
- o Complete BCCF Lab training.
- o Complete MDM training material update.
- o Continue technical discussion and dialog on wireless crossing functional requirement and implementation risks.

Prepared By: Matt Scanlon, Deputy Director, Systems - 650.622.7819

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

MINUTES OF OCTOBER 21, 2020

MEMBERS PRESENT: A. Brandt (Vice Chair), A. Dagum, P. Flautt, L. Klein, R. Kutler, P. Leung, N. Mathur (Alternate), M. Romo, D. Tuzman, B. Shaw (Chair)

MEMBERS ABSENT: K. Maxwell (Alternate)

STAFF PRESENT: C. Groves, L. Guan, J. Lipps, L. Low, J. Navarrete, J. Navarro

Due to COVID-19, this meeting was conducted as a teleconference pursuant to the provisions of the Governor's Executive Orders N-25-20 and N-29-20, which suspends certain requirements of the Ralph M. Brown Act.

Chair Brian Shaw called the meeting to order at 5:40 p.m. and led the Pledge of Allegiance.

APPROVAL OF MINUTES OF SEPTEMBER 16, 2020

Motion/Second: Klein / Brandt

Ayes: Dagum, Flautt, Kutler, Leung, Romo, Tuzman, Shaw

Absent: None

A Dagum arrived at 5:42 p.m.

PUBLIC COMMENT

Roland Lebrun, San Jose, via Zoom Q&A, stated that there has been \$7.1B secured for Diridon and south of Diridon, the extension to Gilroy including the stations and the grade separations. He asked the Committee to start thinking about who should oversee the project between San Jose and Gilroy. He suggested to review the High-Speed Rail Board Meeting held in September to learn more.

CHAIRPERSON'S REPORT

Chair Brian Shaw reminded the Committee about Measure RR on the November ballot. The remainder of the Chairperson's report is inaudible.

COMMITTEE COMMENTS

Member David Tuzman mentioned that he hopes that Measure RR passes to provide the reliable funding to keep improving and providing Caltrain service. He plans to volunteer to get the word out to voters. Additionally, he stated that a member of the community reached out to him for information on how to obtain a discount card through RTC. Member Tuzman stated that the Caltrain website leads to a broken Clipper link. He stated that he would bring up this concern later in the meeting, during the website replacement presentation.

Member Rosalind Kutler responded to Member Tuzman's concern regarding RTC discount card. She advised to call the RTC office directly to obtain a discount card.

Member Anna Dagum requested staff to provide a presentation regarding the Caltrain Rail Corridor use Policy, as well as the Transit-Oriented Development Policy. She would even be interested in seeing Caltrain or the San Mateo County Transit Authority Department get more involved in looking at their land and seeing how certain land use policies can be innovated to join the fight for affordable housing on the peninsula.

Member Patricia Leung also requested staff to provide a presentation regarding the Transit-Oriented Development Policy. She stated that there is a proposed project in the Santa Clara parking lot and that it would be interesting to learn that the City of Santa Clara has 100 percent control on the number of parking spaces it will allow Caltrain to keep. She stated that affordable housing on the corridor is important.

Member Kutler stated that keeping with equity statements, she said that affordable housing is important because a lot of times, if the cities have control of the stations when dealing with climate change issues there will be no equity. She stated that there needs to be a policy.

Member Leung stated that it is important to be aware what entity has jurisdiction in order to follow-up with the proper authorities.

Vice Chair Adrian Brandt clarified that the Mayor of San Jose, Sam Liccardo was able to get a commitment from MTC for \$7.1B that would include Caltrain Electrification south of Diridon down to Gilroy and potentially the building of new tracks. He stated that it is part of what is known as the plan Bay Area 2050. He stated that it is money that is anticipated to come through MTC which is the Metropolitan Planning Organization for the entire nine County area. Vice Chair Brandt then urged Caltrain staff to work expeditiously to make sure that onboard staff, those that would be responsible for calling people out for not wearing masks, to have a decent supply of inexpensive masks to hand out. He stated that the CDC has finally come around and several additional sources regarding the importance of wearing masks, especially on transit. Lastly, Vice Chair Brandt requested staff to tighten the schedule as soon as possible because currently the padding is so great that the conductors are standing around for one or two minutes doing absolutely nothing. He stated that Caltrain needs all the riders to come back as the roads are getting more congested and the schedule needs to be competitive because people really do care about travel time.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated Roland stated that in order to view who owns what property to Google Caltrain ROW Maps. Samtrans has control of the Samtrans properties and the Joint Powers Board has the control of the Caltrain properties. He then stated that regarding wearing masks on public transportation, the CDC advocated for that in April or May.

APPROVAL OF THE 2021 JPB CAC MEETING CALENDAR

Motion/Second: Brandt / Klein

Ayes: Dagum, Flautt, Kutler, Leung, Romo, Tuzman, Shaw

Absent: None

BROWN ACT TRAINING

Catherine Groves, Legal Counsel, presented the Brown Act Training presentation.

The full Power Point presentation can be found on caltrain.com

Committee Comments:

Member Kutler asked to clarify that if she wanted to talk to the Chair about a project that is not directly related to committee business but may be about transit. Ms. Groves responded that the rule is the Members cannot talk about committee business outside of a publicly noticed meeting with more than a quorum.

Alternate Member Neeraj Mathur asked a two-part question, he asked that if he missed a CAC meeting for an emergency, whether he would not have access to the materials discussed in that meeting. Part two is if he wanted to learn about what transpired in that meeting, given the mail thread daisy chain, he should not be reaching out to other members to ask anything about that meeting. Ms. Groves responded that the CAC Meeting Minutes are available and is the best way to figure out what happened at a previous board meeting.

Member Kutler asked to confirm that when a Member is absent from a CAC meeting, that the Member should abstain from a vote as they were not present at the previous meeting. Ms. Groves confirmed that Members can only vote if they are present.

Chair Brian Shaw then asked to clarify that since the Committee has Alternate Members now, if the Alternate was at the meeting and not sitting on the committee, in an official capacity, but at the next meeting they needed to do so in order to form a quorum, could they then vote on the minutes because they were present at the last meeting. Ms. Groves stated that she would check the Committee's Bylaws to provide an accurate answer to Secretary Jennifer for a response.

Member Leung pointed out that regarding communication, Members cannot comment or like other people's social media posts. Ms. Groves thanked Member Leung for highlighting that point.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, appreciated that CAC Alternate Members have been added to the Bylaws to ensure a quorum. Mr. Carter stated that in the past, staff

has used the Brown Act as a way to not discuss items that, in his view, staff did not want to discuss, like for instance, a few number years ago, there was discussion on clipper 2.0 and could mean a lot of things. The question came up about fare integration and immediately staff stated that they could not talk about it because it was a Brown Act violation, however, fare integration is well within the purview of clipper 2.0.

Roland Lebrun, San Jose, via Zoom Q&A, stated that this was the very best presentation he has ever seen. He then requested that the CAC Meetings be available via Live Stream on YouTube.

PENINSULA CORRIDOR ELECTRIFICATION PROJECT (PCEP) - UPDATE

Lin Guan, Deputy Director, Project Delivery presented the Peninsula Corridor Electrification Project (PCEP) Update.

The full Power Point presentation can be found on caltrain.com

Committee Comments:

Vice Chair Brandt asked what reasons Balfour are citing for why productivity was very low and what are some of the problems they are claiming are responsible for their less than on schedule production rate. Mr. Guan responded that there are different site conditions along the corridor with a lot of utilities and not a lot of space. He stated that it is Balfour's responsibility to do the utility exploration to account for existing and knowing utilities as part of the design. He stated that throughout that process, it is an iterative process locating the utilities and then adjusting from a design perspective. That is what Balfour claims has attributed to the delays. Lastly, Vice Chair Brandt referred to the slide that talking about signal work changes and percentages and asked whether that also reflect the change to the grade crossing warning systems. Mr. Guan responded that it is inclusive of all the signal work that needs to be completed as part of project and includes the work at the grade crossings.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, stated that he noticed missing poles at every single overpass and asked whether electrification will go to Tamien and if so, what is the solution as he does not see how that will work.

Jeff Carter, Millbrae, via Zoom Q&A, mentioned that he would like the trains to be expanded to longer trains, given funding because more capacity is needed. He stated that increasing frequency is one way and making the trains longer, up to 10 cars or longer is another way. He then stated that having one bathroom is a mistake, especially after events at the ballpark or Chase Center. Mr. Carter stated that eventually Caltrain have level boarding and should be at the 25 inches and not the upper doors. He stated that was High Speed Rail dictating to Caltrain and Metrolink. Caltrain should be dictating High Speed Rail and level boarding should be at the lower the lower doors. Lastly, Jeff shared that hopefully there will be a solution that will work like the current constant warning time because with dual speed some gates might be down for a long time and will create impatient motorists that might want to drive around gates.

Aleta Dupree, via Zoom Q&A, stated that the foundations are the most important and concerning part of this program. She noticed the report was dated as of the end of September and requested an update that is in real time. She requested that everyone be forceful advocates for getting the basics of this electrification done and that it is a work in progress, starting with seven car trains and longer trains are not uncommon. She then stated that she would like to see more than one bathroom on a train.

CALTRAIN WEBSITE REPLACEMENT PROJECT

Jeremy Lipps, Social Media Officer, presented the Caltrain Website Replacement Project.

The full Power Point presentation can be found on caltrain.com

Committee Comments:

Member Patrick Flautt shared that he designs websites and he would like to see more personalization that allows the rider plan trips. Joe Navarro, Deputy Chief, Rail Operations said that he would have the CAC Secretary, Patrice help exchange emails for further input.

Member Kutler stated that she finds those pages helpful and that there is a need for mobile as the riders are mobile.

Vice Chair Brandt would like to see performance measures to help guide the whole process like minimum number of clicks or maximum number of clicks to reach anyone part of the site, to have measurable performance targets. He then stated that the with mobile should access information quickly, cleanly and logically without too much difficulty. Lastly, he hopes that there will be usability tests to figure out pain points prior to launch.

Member David Tuzman stated that first time riders that Google Caltrain have a hard time finding the webpage because of the construction alerts. He shared his concern about possibly not receiving user input early or testing at a very early proof of concept level because then staff will build a website and it will look nice to some people, and then Caltrain will be stuck with it again for 10 years. Lastly, he circled back on his earlier comment regarding someone from the community who is looking for the disability discount for instance, it seems it should put up front. He stated that he hopes staff aims to make the information, clear and easy to find.

Alternate Member Mathur asked whether staff has identified the primary user workflows, user paths, key things that people are trying to do on the Caltrain website or is staff still in the discovery phase. Secondly, he asked on the side of security regarding confidentiality, integrity and availability, what kind of security measures are going to be put in place. Lastly, he asked what the confidence level is of being able to keep that June 2021 date. Mr. Navarro stated that the Social Media team will visit the committee with updates throughout the project.

Chair Shaw asked whether staff is considering having a link to the Twitter feed or having a window feed of that on the on the new website. Mr. Lipps responded that he would

like to. Jeremy Lipps stated that the team has been impressed with the social media presence Caltrain has and are very eager to incorporate all those elements.

Member Flautt suggested duplicating Twitter notifications using push notifications to Caltrain's existing mobile framework on the Caltrain app and have more information for that broadcast on the main redesigned website.

Chair Shaw stated that the more we can get that information out to people in real time and in ways that will be more available to them, is critical nowadays.

Public Comments:

Jeff Carter, Millbrae, via Zoom Q&A, stated that the Caltrain website is one of the better websites as far as transit agencies. He appreciates the archives for past Board Meetings. He stated that he would like to see is more detailed ridership and fare information and an expansion of the monthly Key Performance statistics.

Roland Lebrun, San Jose, via Zoom Q&A, stated that he was disappointed with the presentation. He suggested presenting an overview of the proposal process, a kind of as a pyramid of what will be in there and how it will be integrated, and the various elements will be linked together. He then suggested a monthly update to the Committee. Roland stated that he would like to see a picture of the network and the locations of the trains. Lastly, he stated that he would also like to see bike counters to know occupancy of the train as it is very critical during the pandemic.

VIRTUAL REALITY CAMPAIGN

Lori Low, Public Affairs Officer, provided a Virtual Reality Tour of the Electric Trains.

The full Power Point presentation can be found on caltrain.com

Committee Comments:

Member Flautt commented that it is nice to see VR being used to show immersion and to show people what an experience can be like. He stated that he is glad that the public has an option to see this ahead of its release. He thanked staff for the good work as he considers it a well affected marketing campaign.

Vice Chair Brandt asked Ms. Low to confirm that backward facing seats to do not have power outlets and that every seat should be able to have a power outlet since it is underneath the seat instead of in front. Ms. Low said yes and that the ones that have tables, the seats that face each other, those ones will have outlets. Vice Chair Brandt then asked whether the video surveillance recorded, would be archived to help identify thieves. Ms. Low stated that more seating was placed in the bike car after working with both the CAC and the BAC. Mr. Navarro stated that there are cameras throughout the train with minimal blind spots and that the recordings will be on a server and will have the ability to pull the information as needed during an investigation or for any other reason.

Public Comments:

Roland Lebrun, San Jose, via Zoom Q&A, asked whether there is there any way that trains could have more restrooms of the non-Ada type something one third of the size, to take up less space, at the other end of the train.

Jeff Carter, Millbrae, via Zoom Q&A, Jeff Carter reiterated the importance of having more seats in the bike car to help prevent theft. He also stated that having secure bike storage is important to the bicycle community.

STAFF REPORT UPDATE

Joe Navarro, Deputy Chief, Rail Operations, reported:

(The full report can be found on caltrain.com)

inaudible

On-time Performance (OTP) –

- **September:** The September 2020 OTP was 97.5% compared to 93% for September 2019.
 - **Vehicle on Tracks** – There were three days, September 7, 8 and 27, with a vehicle on the tracks that caused train delays.
 - **Mechanical Delays** – In September 2020 there were 479 minutes of delay due to mechanical issues compared to 620 minutes in September 2019.
- **August:** The August 2020 OTP was 95.7% compared to 93.9% for August 2019.
 - **Trespasser Strikes** – There was one trespasser strike on August 4, resulting in a fatality.

(The full report can be found on caltrain.com)

Committee Comments:

Vice Chair Brandt asked what the ridership percentage / trend is. Mr. Navarro responded that ridership is roughly between 3,500 to 4,000 a day and that with San Francisco reopening, is anticipating ridership to go up.

Chair Shaw asked what date the winter schedule would go into effect. Mr. Navarro stated that staff is close with finalizing and would bring it to the committee in November.

Public comments:

Roland Lebrun, San Jose, via Zoom Q&A, asked why there is a delay with the social distancing kit and what is the cost of this kit and asked what does social distancing look like in a Gallery car. He then asked whether the schedule change will bring back the bullet train, if not, why not. Lastly, he asked whether CEMOF would be electrified and that it just needs a single track and that would be the same solution is what would

make it possible to take the train all the way to Tamien and Gilroy even if the line was not electrified.

JPB CAC Work Plan

November 18, 2020

- Grade Crossing Improvements
- Industry Safe Functionality
- South San Francisco
- Hillsdale
- Train Schedule

December 16, 2020

- Government Affairs update
- San Francisco Downtown Extension update

Items to be scheduled

- Go Pass cost per ride factors – requested by Chair, Brian Shaw on 6/19/19
- San Mateo County Climate Action Plan – requested by Member Rosalind Kutler on 10/16/19
- MTC Means-Based Discount Fare program update
- Caltrain connections with other agencies – requested by Member Rosalind Kutler on 12/18/19
- Update on grade crossing pilot six months after installation – requested by Member, Patrick Flautt on 12/18/19
- Summary video of the CAC meetings by the Social Media Officer – requested by Chair, Brian Shaw on 12/18/19
- Operating Costs – requested by Member Adrian Brandt on 2/13/20
- Sales Tax Measure – requested by Member Adrian Brandt on 7/8/20

DATE, TIME AND LOCATION OF NEXT REGULAR MEETING:

November 18, 2020 at 5:40 p.m., San Mateo County Transit District Administrative Building, 2nd Floor Bacciocco Auditorium, 1250 San Carlos Avenue, San Carlos, CA.

Adjourned at 8:14 pm

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Rail

SUBJECT: **APPROVAL OF THE CLOSURE OF ATHERTON STATION AND RELATED ELIMINATION OF WEEKEND SERVICE AT THE STATION; EXECUTION OF RELATED AGREEMENTS WITH TOWN OF ATHERTON; ADOPTION OF ASSOCIATED ADDENDUM TO THE FINAL PCEP EIR; AND APPROVAL OF TITLE VI EQUITY ANALYSIS**

ACTION

Staff Coordinating Council recommends the Board:

1. Approve the closure of and eliminate Caltrain service at Atherton Station, contingent upon completion of the Federal Transit Administration's re-evaluation of the Peninsula Corridor Electrification Project (PCEP) under the National Environmental Policy Act (NEPA);
2. Authorize the Executive Director, or designee, to execute a Memorandum of Understanding and a Maintenance and Use Agreement with the Town of Atherton (Town);
3. Approve an Addendum to the Peninsula Corridor Electrification Project (PCEP) Environmental Impact Report (EIR), which finds that there would be no new significant impacts and no substantially more severe impacts based on the closing the Atherton Station and removing station improvements, compared to the proposed continued and expanded use of the Atherton Station as contemplated in the PCEP EIR approved in 2015;
4. Accept the associated Title VI Equity Analysis, which finds that the proposed closure of Atherton Station and related elimination of weekend service at the station does not result in a disparate impact or disproportionate burden on minority or low-income passengers, respectively; and
5. Authorize the Executive Director, or designee, to execute any other documents and take any other actions necessary to give effect to the above-stated actions.

SIGNIFICANCE

In late 2019, Peninsula Corridor Joint Powers Board (JPB) staff and representatives of the Town of Atherton (Town) initiated discussions concerning the potential closure of Atherton station as it would provide significant benefits to the both the Town and Caltrain service. Benefits include:

- Providing Caltrain with the opportunity to re-allocate service to adjacent stations where denser land uses and improved travel times will generate more ridership and provide a broader benefit to the public, potentially increasing daily ridership by 300-500 passengers.
- Cost savings associated with eliminating operations and maintenance of the station.
- Obviating the need for a costly station rebuild to remove the holdout rule, previously estimated to cost over \$30 million.
- Reduced noise and improved safety.
- Better integration of the excess station property into the Town's Civic Center redevelopment project now under construction.

In January 2020, the Atherton City Council preliminarily approved the closure of Atherton Station subject to the JPB and the Town entering into a Memorandum of Understanding (MOU). Following the Council's action, JPB staff initiated the process to potentially close the station. Actions included working with Town staff to develop an MOU and associated Maintenance and Use Agreement (MUA), conducting the necessary environmental review related to the station closure, and completing a Title VI Equity Analysis.

Following nearly another year of cooperative efforts between the JPB and the Town, the Atherton City Council took action on October 26 to authorize execution of the MOU that identifies actions and commitments by the JPB and the Town to ensure the permanent closure of the station in a manner that is mutually satisfactory to both parties. Actions identified in the proposed MOU include:

- The JPB's closure of the Atherton Station, including related legal and environmental compliance.
- The JPB making near-term station area modifications supporting the closure, including removal of the center boarding platform and construction of a fence separating the operating right-of-way from the rest of the station property.
- Execution of the MUA between the JPB and the Town regarding the station property located outside the active rail corridor. The Town will assume maintenance responsibility for the identified Maintenance and Use Area and the JPB will permit construction and maintenance of the improvements outlined in the MOU.
- The JPB will secure funding from the San Mateo County Transportation Authority (SMCTA) or other grant sources to support, and the JPB and Town will conduct, the following activities:

- the JPB's installation of a new four-quadrant gate ("quad gate") at the Watkins Avenue grade crossing to improve crossing safety
- the JPB's procurement and installation of permanent fencing to separate the Town Civic Center from the operating rail corridor
- the Town's development and implementation of an initial plan for site improvements in the Maintenance and Use Area, including landscaping, screening improvements and potential modifications to the Station Building to integrate the station building into the Town Center
- the study and implementation of an active transportation route from the Atherton Town Center to the Menlo Park Caltrain Station
- the evaluation of available JPB right-of-way that can be used to support the active transportation route, in a manner consistent with JPB's existing property use policies.

The funding and implementation schedule for the above actions are outlined in the MOU, and funding for the Station Area Site Improvements and Access Improvements may be utilized by the Town for either purpose.

Addendum to the Final PCEP EIR (Attachment A)

The JPB certified the PCEP EIR on January 8, 2015. Currently the Atherton Station only receives weekend service, however, the Final EIR included a project description with restoration of weekday service at the Atherton Station after electrification.

Under the California Environmental Quality Act (CEQA), an addendum to an EIR is needed if minor technical changes or modifications to a proposed project occur. An addendum is appropriate only if these minor technical changes or modifications do not result in any new significant impacts or a substantial increase in the severity of previously identified significant impacts. As such, the attached addendum to the PCEP Final EIR has been prepared and concludes that there would be no new significant impacts and no substantially more severe impacts based on the impacts of closing the Atherton Station and removing station improvements compared to the proposed continued and expanded use of the Atherton Station in the 2015 PCEP Final EIR.

Title VI Equity Analysis (Attachment B)

Before adopting the proposed station closure, the Board is required to consider the attached equity analysis and elimination of weekend service at the Atherton Station would be a Major Service Change under the JPB's Title VI Policies. This analysis is consistent with policies adopted by the Board to comply with Title VI of the Civil Rights Act of 1964.

The Title VI Equity Analysis:

- Identifies the Atherton Station closure as a Major Service Change that requires a service equity analysis as defined by the JPB's Title VI Program,
- Analyzes the Atherton Station closure proposal on a system-wide level to determine whether the impacts would result in disparate treatment among protected classes,

- Uses the Title VI policies and analysis thresholds that were adopted by the JPB in 2019,
- Is based on the 2018 American Community Survey information due to the small sample size in the 2019 Caltrain triennial survey and COVID-19 change in ridership levels,
- Disaggregates data by income and ethnicity to meet the requirements of federal Title VI guidance,
- Identifies the purposes and adverse effects of the proposed Atherton Station closure,
- Summarizes public engagement related to consideration of the Atherton Station closure proposal, and concludes that the Atherton Station closure proposal does not present disparate impacts on minority riders or disproportionate burdens on low-income riders

BUDGET IMPACT

The initial costs of demobilizing the station and installing temporary fencing will be paid out of the JPB's Fiscal Year 2021 Operating Budget as these actions are needed for and benefit the system as a whole and can be accomplished by TASI within the approved budget.

Other major costs of the proposed actions, which are expected to total \$6.2 million, will be funded by a combination of San Mateo County Transportation Authority funds and grant sources.

BACKGROUND

The JPB suspended regular weekday Caltrain service to Atherton Station in 2005. At that time, average weekday ridership was approximately 122 passengers per day. Caltrain currently provides limited, weekend-only service to the Atherton Station, with trains in each direction stopping every 90 minutes. Before the COVID-19 pandemic and related shelter-in-place orders, the Atherton Station was used by approximately 114 riders per average weekend day.

The Atherton Station has an older, narrow "center-boarding" configuration that requires pedestrians to cross the tracks to access the boarding platform. This substandard configuration limits train operations through the station, as trains operating in one direction must "hold out" while a train operating in the other direction is boarding. Most "hold out rule" stations on the corridor have now been rebuilt. Atherton, along with Broadway and College Park, is one of the few remaining stations with this configuration still in place. As Caltrain service increases post-electrification, the need for trains to "hold out" will create an operational bottleneck that will increasingly constrain the overall system.

Subsequent to the suspension of weekday service to the station in 2005, the JPB made a policy commitment to restore regular weekday service to Atherton Station following the electrification of the corridor. This commitment was documented in the 2015

Environmental Impact Report (EIR) for the Peninsula Corridor Electrification Project (PCEP).

In late 2019, Caltrain staff and representatives of the Town initiated discussions concerning the potential closure of the station, resulting in a preliminary agreement.

In a January 8, 2020 letter to the Town Manager, the JPB's Executive Director requested the Town's support for the full closure of the Atherton Caltrain station.

The Atherton City Council considered and preliminarily approved the request at its January 15, 2020 meeting, subject to the JPB and the Town entering into a Memorandum of Understanding.

Prepared by: David Pape, Principal Planner, Caltrain Planning

650.418.6025

RESOLUTION NO. 2020 –

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

* * *

APPROVING CLOSURE OF THE ATHERTON STATION AND RESULTING MAJOR SERVICE CHANGE, APPROVING THE ASSOCIATED TITLE VI ANALYSIS, AUTHORIZING AGREEMENTS WITH THE TOWN OF ATHERTON, AND APPROVING ADDENDUM TO THE FINAL ENVIRONMENTAL IMPACT REPORT FOR THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT TO REFLECT THE CLOSURE OF THE STATION AND RELATED SERVICE CHANGE

WHEREAS, staff has proposed the Peninsula Corridor Joint Powers Board (JPB) Board of Directors (Board) close and eliminate Caltrain service at the Atherton Station, contingent upon completion of the Federal Transit Administration's (FTA) re-evaluation of the Peninsula Corridor Electrification Project (PCEP) under the National Environmental Policy Act (NEPA); and

WHEREAS, Caltrain currently provides weekend-only service at the Atherton Station, with trains in each direction stopping every 90 minutes on both Saturdays and Sundays; and

WHEREAS, closure of the Atherton Station will allow the JPB to reallocate service to adjacent stations, e.g., Menlo Park and Redwood City, where denser land uses and improved travel times will generate more ridership and provide a broader benefit to the public, potentially increasing ridership each weekend day by 300-500 passengers (based on pre-COVID-19-pandemic estimates); and

WHEREAS, closure of the station also would allow the JPB to realize operations and maintenance savings, obviate the need for a costly station upgrade to remove the holdout rule resulting from the station's center boarding platform, reduce noise and improve safety in the station area, and provide an opportunity for the Town of Atherton

(Town) to better integrate the excess station property into its Civic Center redevelopment project now under construction; and

WHEREAS, the Board of Directors held a duly noticed public hearing on elimination of Atherton Station service at its September 3, 2020 meeting, and engaged in public outreach around the service change over the past 10 months; and

WHEREAS, on October 26, 2020, the Atherton City Council authorized execution of a Memorandum of Understanding with the JPB under which:

- the JPB will close the Atherton Station;
- the JPB will make station area modifications supporting the closure, including removal of the center boarding platform and construction of a fence separating the operating right-of-way from the rest of the Atherton Station property;
- the JPB and the Town will execute a Maintenance and Use Agreement, under which the Town will assume maintenance responsibility for an identified Maintenance and Use Area located outside the active rail corridor, and the JPB will permit construction and maintenance of the improvements outlined in the MOU;
- the JPB will install a new four-quadrant gate at the Watkins Avenue grade crossing to improve crossing safety;
- the JPB will provide funding toward the development and implementation of an initial plan by the Town to provide site improvements in the Maintenance and Use Area;
- the JPB will provide funding toward the study and implementation of an active transportation route from the Atherton Town Center to the Menlo Park Caltrain Station, and will evaluate available JPB right-of-way that can be used to support the

active transportation route, in a manner consistent with JPB's existing property use policies; and

WHEREAS, on April 4, 2013, by Resolution No. 2013-21, the Board adopted a Major Service Change Policy for the Caltrain system, which sets the thresholds for when a proposed service change must be preceded by a service equity analysis and public engagement process; and

WHEREAS, the elimination of weekend service at Atherton Station meets the Major Service Change Policy threshold, and therefore required public outreach, a public hearing, and completion of an equity analysis; and

WHEREAS, the equity analysis must comply with Title VI of the Civil Rights Act of 1964 and implementing regulations, including Federal Transit Administration Circular 4702.1B, and assess whether the change will result in disparate impacts on minority populations or disproportionate burdens on low-income populations; and

WHEREAS, on April 4, 2013, by Resolution No. 2013-21, the Board adopted Disparate Impact and Disproportionate Burden Policies to set thresholds for when fare or major service changes are deemed to have disparate or disproportionate effects on minority or low-income populations; and

WHEREAS, staff has prepared and presented to the Board a Title VI Equity Analysis that assesses the potential effects of the elimination of weekend service at Atherton Station, concluding it will not disparately impact minority passengers nor impose a disproportionate burden on low-income passengers; and

WHEREAS, on January 8, 2015, pursuant to Resolution No. 2015-03, the JPB certified the Final Environmental Impact Report (FEIR) for the PCEP and, pursuant to Resolution No. 2015-04, the JPB approved the PCEP and adopted California Environmental Quality

Act (CEQA) findings of fact, a statement of overriding considerations, and a mitigation monitoring and reporting plan; and

WHEREAS, the weekend service changes will present no environmental effects that would exceed those considered in the FEIR; and

WHEREAS, Staff Coordinating Council recommends that the Board of Directors take the actions necessary to close the Atherton Caltrain Station, including eliminating weekend Caltrain service at the Atherton Station, executing related agreements with the Town of Atherton, and amending PCEP environmental documents.

NOW, THEREFORE, BE IT RESOLVED that the Board of Directors of the Peninsula Corridor Joint Powers Board hereby:

1. Finds pursuant to Title VI of the Civil Rights Act of 1964 that the proposed elimination of service at Atherton Station will not have a disparate impact on minority populations nor impose a disproportionate burden on low-income populations;
2. Approves the Title VI Equity Analysis attached as Attachment B and incorporated by this reference;
3. Approves an Addendum to the Peninsula Corridor Electrification Project Environmental Impact Report, as set forth in Attachment A, which finds that there would be no new significant impacts and no substantially more severe impacts based on closing the Atherton Station and removing station improvements, compared to the proposed continued and expanded use of the Atherton Station as contemplated in the Peninsula Corridor Electrification Project Environmental Impact Report approved in 2015;

4. Approves the closure of the Atherton Station and discontinuation of Caltrain service at the station, contingent upon receiving notice that the Federal Transit Administration has completed a re-evaluation of the PCEP under the National Environmental Policy Act;
5. Authorizes the Executive Director, or designee, to execute a Memorandum of Understanding and a Maintenance and Use Agreement with the Town of Atherton as described above; and
6. Authorizes the Executive Director, or designee, to execute any other documents and take any other actions necessary to give effect to this resolution.

Regularly passed and adopted this 5th day of November, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers
Board

ATTEST:

JPB Secretary

Attachment A

Peninsula Corridor Electrification Project Addendum to the Final Environmental Impact Report Closure of Atherton Station

Prepared by ICF for the Peninsula Corridor Joint Powers Board, August 2020

The Peninsula Corridor Joint Powers Board (JPB or Caltrain) certified the Peninsula Corridor Electrification Project (PCEP) Environmental Impact Report (EIR) on January 8, 2015.

Since certification of the Final EIR, the JPB has proposed to close the Atherton Station. At present, the Atherton Station only has weekend service; no trains stop at the Atherton Station on weekdays. The Final EIR project description includes restoration of weekday service. The JPB now proposes to close the Atherton Station instead.

Under the California Environmental Quality Act (CEQA), an addendum to an EIR is needed if minor technical changes or modifications to a proposed project occur (CEQA Guidelines Section 15164). An addendum is appropriate only if these minor technical changes or modifications do not result in any new significant impacts or a substantial increase in the severity of previously identified significant impacts. An addendum does not need to be circulated for public review (CEQA Guidelines Section 15164(c)).

This addendum to the PCEP Final EIR (State Clearinghouse No. 2013012079) has been prepared in accordance with CEQA Guidelines Section 15164. As discussed below, this addendum concludes that there would be no new significant impacts and no substantially more severe impacts based on the impacts of closing the Atherton Station and removing station improvements compared to the proposed continued and expanded use of the Atherton Station in 2015 EIR.

1. Existing Atherton Station

The existing Atherton Station in Atherton receives train service only on the weekends and operates under a Hold Out Rule, which is described below.

The existing station has a center platform that serves the northbound tracks. The platform center is approximately 16-ft wide and is located between the tracks, as the two mainline tracks are approximately 26-ft apart (on-center).

Because of the center platform, the Hold Out Rule is in effect at the station meaning that if a train is stopped for passengers, an approaching train in the opposite direction on the other track must wait outside the station. The resulting operational delays, along with low ridership, are the main reasons that Atherton became a weekend-only station in 2005.

Currently, 12 northbound and 12 southbound trains (for a total of 24) stop at the station on Saturdays. On Sundays, 10 northbound and 10 southbound trains (for a total of 20) stop at the station.

At the time of suspension in 2005, average weekday ridership was 122 passengers per day. Approximately 114 riders use the Atherton Station at present on an average weekend day.¹

The existing station includes a center platform and a platform on the west side of the tracks, lights, a passenger shelter, benches, public address system, schedule message board, bike lockers and bike racks.

At present, train horns are sounded on approach to the station, which is required by California Public Utilities Commission (CPUC) and Caltrain operating rules. Train horns are not sounded at the Fair Oaks Lane at-grade crossing because it is located within a quiet zone the Town adopted pursuant to regulations adopted by the Federal Railroad Administration (FRA). The Town installed four quad gates at the crossing as part of the process involved in applying for quiet zone for the FRA.

2. Proposed Closure of the Atherton Station

The following changes are proposed as part of the closure.

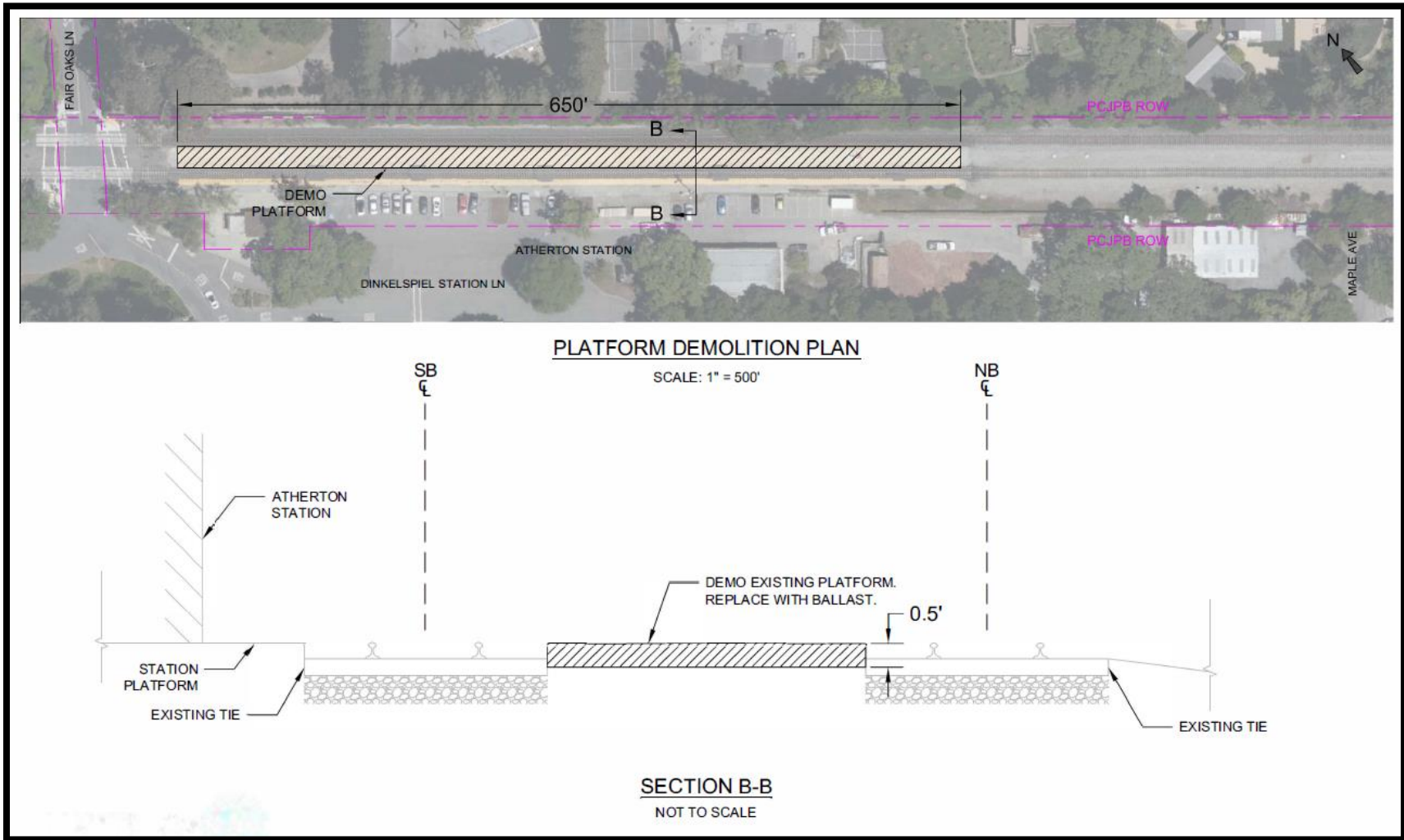
2.1 Physical Removal of Center Platform and Other Improvements

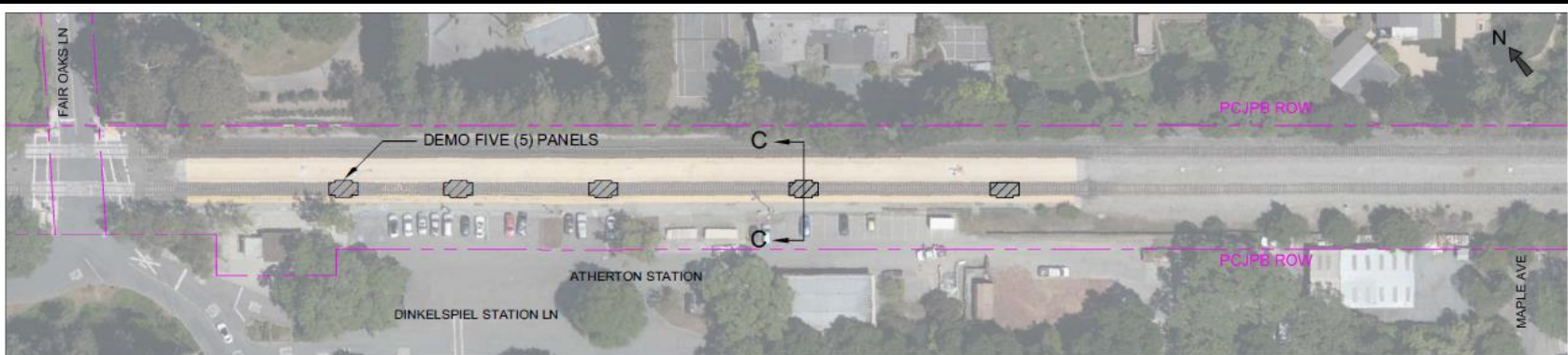
The following physical changes will occur.

Platform Removal

The center concrete platform and crossing panels that measure approximately 16-ft wide, 650-ft long will be demolished and removed to its entirety and be replaced with rail ballast in compliance with Caltrain Track Standards. The platform west of the southbound tracks will remain. In addition, the five (5) concrete crossing panels will also be demolished and removed to its entirety and be replaced with rail ballast in compliance with Caltrain Track Standards.

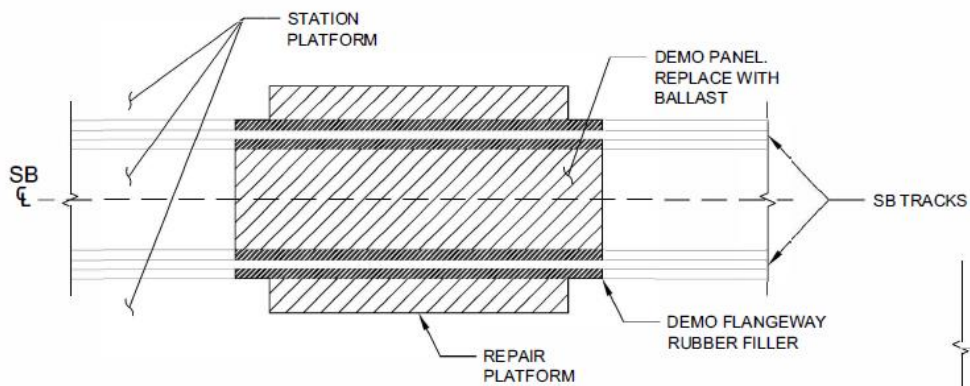
¹ By comparison, Atherton's neighboring stations (Redwood City to the north and Menlo Park to the south), average 4,220 and 1,639 boardings respectively per weekday and 523 and 435 boardings per average weekend day.



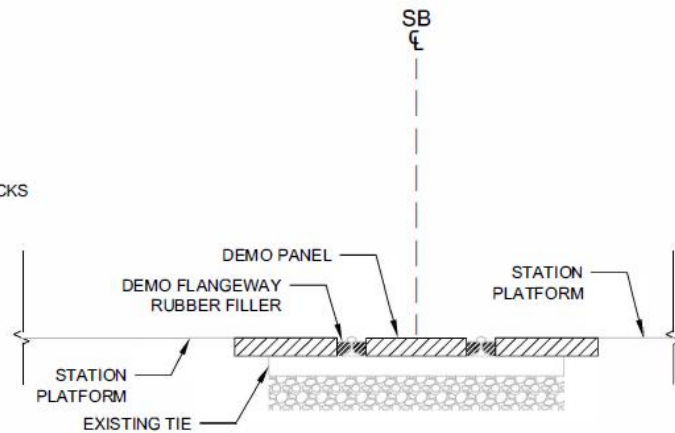


**CONCRETE CROSSING PANEL
DEMOLITION PLAN**

SCALE: 1" = 500'



**PANEL DEMOLITION
DETAIL**
NOT TO SCALE



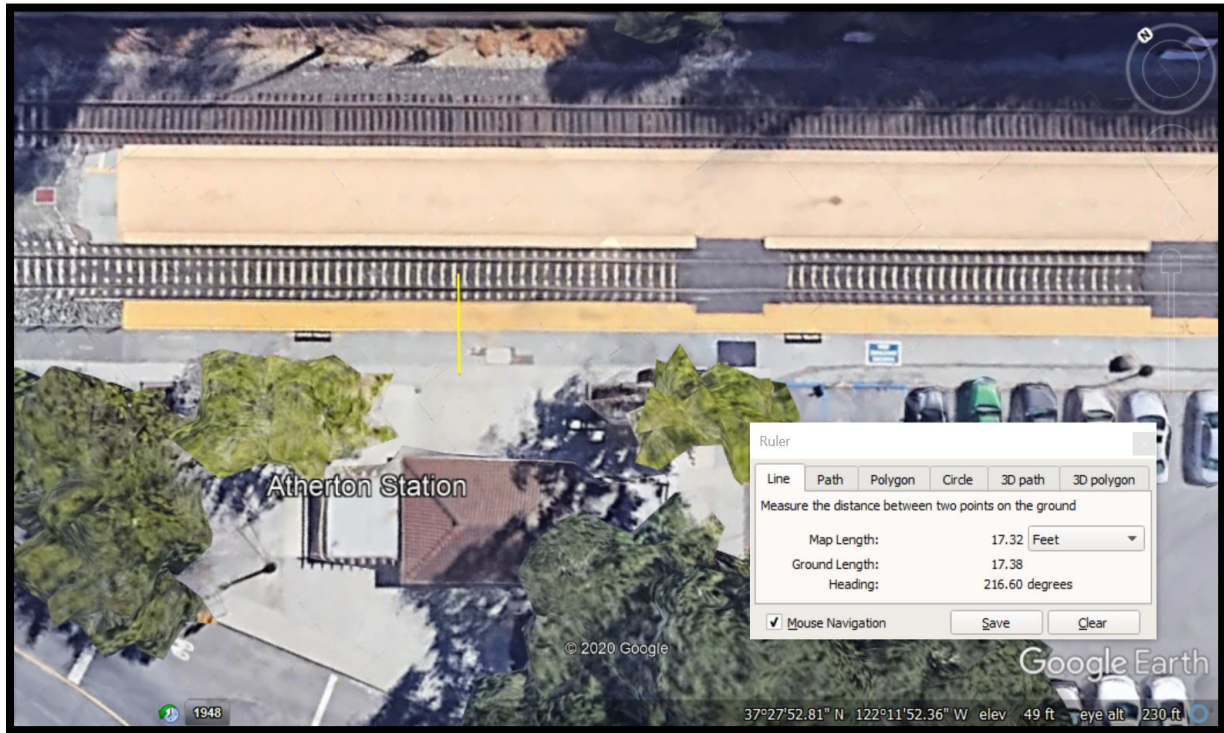
SECTION C-C
NOT TO SCALE

Station Facilities

The following facilities will be removed at the station

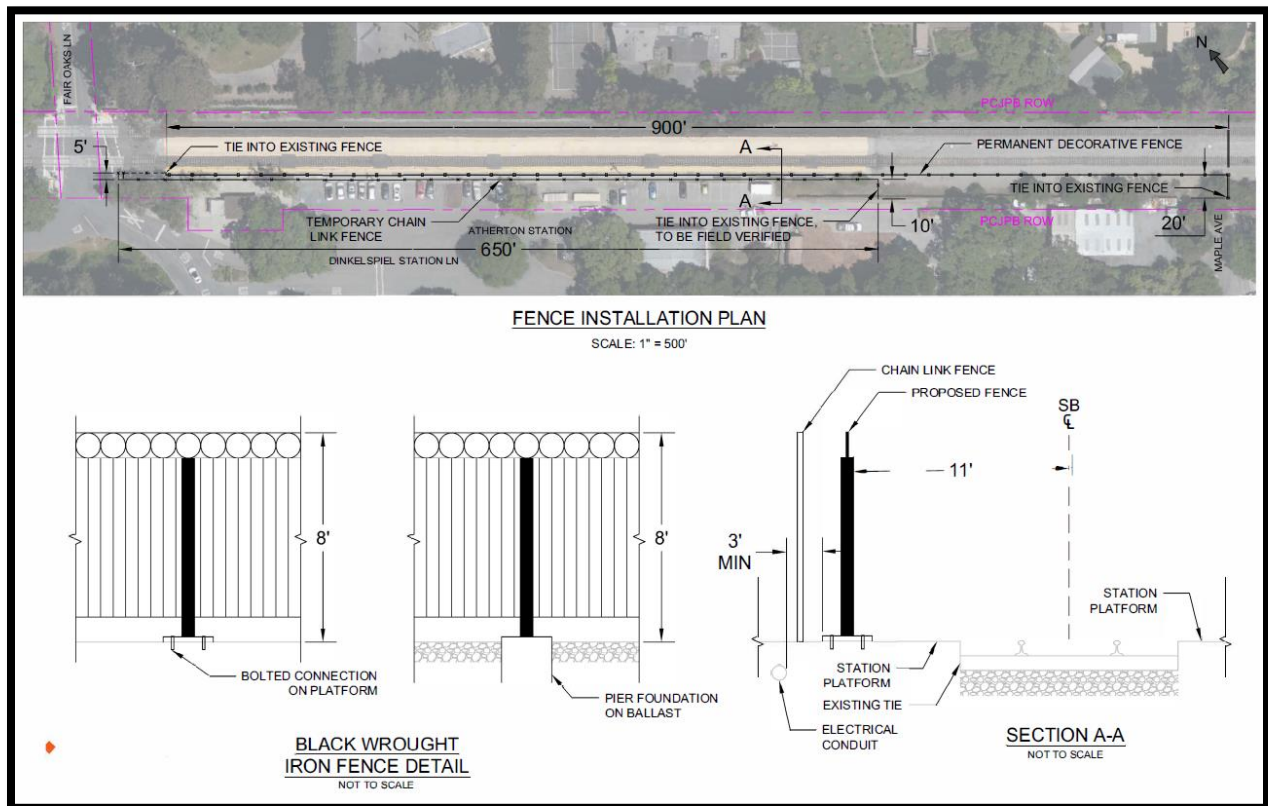
- Ticket vending machine, Clipper card machine and information panels
- Bike lockers
- Public Announcement (PA) System

No other modifications are presumed as part of the station closure at this time.



Fencing

Fencing will be installed approximately 11-ft away from the centerline west of the southbound track (MT2) and extend approximately 900-ft and approximately 8-ft in height to delineate the railroad tracks and the station. The proposed barrier fence would include a wrought iron design in front of and extends south and north of the station structure which will provide a compatible visual character relative to the station character. Additional vegetation and landscaping may also be installed separately by the Town of Atherton but is not presumed in this addendum.



Signals

Due to the station's proximity to Fair Oaks Lane and Watkins Avenue at-grade crossings, there are signals associated with the station. Adjacent existing control point and at-grade crossing signals would need to remain in service.

Construction Activity

The removal of the center platform and other station improvements noted above, and the installation of fencing would include the use of standard construction equipment. Construction would occur during weekday daytime hours, wherever feasible. However, given the center platform is located between the operating tracks, it is likely that center platform removal may need to occur during the weekend and/or at nights during the week to avoid disruption to Caltrain service. The removal of the center platform is estimated to take 180 days.

2.2 Cessation of Caltrain Service at the Atherton Station

The lower density, residential character of the land uses around the Atherton station suggest that the station is unlikely to generate significant future ridership, even with restored weekday service. Closure of the Atherton station would allow Caltrain to reallocate service that would have been provided to Atherton to nearby stations where denser land uses will generate more ridership and provide a broader benefit to the public

In addition, if the original proposal to restore weekday service at the Atherton were to occur, there would be delays to through service due to implementation of the mandatory Hold Out Rule. With the removal of the Atherton Station center platform and closure of the Atherton Station, Caltrain service will avoid the delays due to the Hold Out Rule.

The exact location of additional service stops is not known at this time and would be part of service schedule development when the electrification project commences operation. However, the effect of the closure of the Atherton Station was analyzed to see what the effect on ridership would be. For the sake of the analysis, the additional stops were placed at the California Avenue Station in Palo Alto.

Table 1 shows the changes from this analysis of weekday ridership at Redwood City, Atherton, and Menlo Park and for the system overall. The results show that in 2020 approximately 250 of the Atherton riders would utilize the nearby Redwood City and Menlo Park stations; the remaining 30 are assumed to not use Caltrain. In 2040, approximately 350 of the Atherton riders would utilize the nearby Redwood City and Menlo Park stations; the remaining 80 are assumed to not use Caltrain. However, due to the additional stops at higher ridership stations and higher efficiency through avoidance of Hold Out Rule delays, system ridership would result in a system increase in riders that more than compensates for the loss of a some local riders due to the closure of the Atherton Station.

Table 1: Weekday Ridership Changes with and without Atherton Station Closure

Scenario	Redwood City	Atherton	Menlo Park	Systemwide Weekday
2019 Existing	4,220	0	1,640	63,600
2020 PCEP EIR	3,180	280	1,520	67,730
2020 PCEP EIR without Atherton	3,320	0	1,630	68,060
2040 PCEP EIR	5,670	430	2,140	109,590
2040 PCEP EIR without Atherton	5,840	0	2,310	109,890

Source: Fehr & Peers, 2020

While not quantitatively analyzed, the weekend ridership is expected to have similar effects of Atherton Station users primarily using Redwood City and Menlo Park stations and overall system ridership being either the same as or slightly higher than with the Atherton Station due to greater system efficiency.

2.3 Potential Future Extension of Quiet Zone to Watkins Ave.

It is possible that the existing “quiet zone” at the Fair Oaks Lane railroad crossing may be extended by the Town of Atherton to include the railroad crossing at Watkins Ave. Per Federal Railroad Administration (FRA) regulations, only a local city can create a quiet zone; railroad (including Caltrain) cannot implement a quiet zone. If the physical safety improvements necessary for a quiet zone are implemented, and the quiet zone conforms to FRA requirements, then train horns would not be required to be routinely sounded on approach to the Watkins Avenue or Fair Oaks Lane at-grade crossings (due to the closure of the Atherton Station and the removal of the pedestrian crossings at that station, train horns will not need to be sounded at the station). The physical improvements that may be necessary (such as four quad gates, median channelization, or other improvements) to extend a quiet zone to Watkins Avenue and any operational changes in train horn sounding relative to Watkins Avenue are not included in the project description for this addendum and are presumed to be implemented separately if they are done.

3. Environmental Review

3.1 Aesthetics

Environmental Setting

The aesthetic setting of the railroad corridor in Atherton and Atherton Station is characterized by the spacious homes and mature landscaping in the neighborhood to the north and south of the station. The station consists of the depot, a parking area with mature trees, and passenger platform. The Atherton depot reflects the high visual quality of the surrounding residential area. Existing residences are adjacent the Caltrain ROW, although backyard fences and mature vegetation currently obscure most views of the corridor. As discussed in Section 3.4, Cultural Resources, the Atherton Station is a historic train station.

Environmental Impact Analysis

The physical improvements associated with station closure would not require any removal of mature vegetation and would not remove any elements contributing to the high visual quality of the station area or surrounding areas. The removal of the ticket vending machine, informational panels, and bike lockers will remove modern elements that are not consistent with the historic depot structure and their removal would slightly improve the station aesthetics. The proposed barrier fence would include a wrought iron design in front of and extends south and north of the station structure that will measure approximately 900 feet long and 8 feet in height, which will provide a compatible visual character relative to the station character. Additional vegetation and landscaping may also be installed separately by the Town of Atherton but is not presumed in this addendum.

The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding aesthetics compared to that disclosed in the Final EIR.

3.2 Air Quality

Environmental Setting

The nearest sensitive receptors are residences located approximately 60 to 80 feet east of the center platform.

Environmental Impact Analysis

Construction

The removal of the center platform, the vending machine, informational panels, bike lockers and the construction of the new fence would require standard construction equipment but would not require use of any equipment not already in use for the PCEP overall. The removal of the vending machine, informational panels, bike lockers and the construction of the new fence would require minimal equipment operations and thus minimal additional emissions. The removal of the center platform would involve the use of jackhammers, concrete saws, excavators and haul trucks to remove the debris and this equipment and vehicles would result in a limited increase in emissions overall for the PCEP. **PCEP EIR Mitigation Measures AQ-2a, AQ-2b, and AQ-2c** would apply to reduce construction impacts regarding criteria pollutants and toxic air contaminants (TACs) by requiring Bay Area Air Quality Management District (BAAQMD) BMPs and equipment requirements to reduce construction-related dust, reactive organic gasses (ROG), and NO_x emissions. With the implementation of these measures, the impact determinations for construction identified in the Final EIR would not change.

Operations

As noted above, the station closure would increase overall system ridership which will increase the amount of reduced vehicle miles traveled and associated emission reductions compared to that discussed in the Final EIR. Train operations would also be more efficient with the elimination of the Hold Out Rule, which will lower electricity consumption and associated power plant emissions compared to that discussed in the Final EIR. Overall, the operational air quality benefits of the PCEP will increase.

Conclusion

The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding air quality and would increase operational air quality benefits compared to that disclosed in the Final EIR.

3.3 Biological Resources

Environmental Setting

The only biological resources in the vicinity of the station closure actions are several trees west of the tracks.

Environmental Impact Analysis

No trees will be removed due to station removal activities.

The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding biological resources compared to those disclosed in the Final EIR.

3.4 Cultural Resources

Environmental Setting

The Atherton Station (MP 27.80) was built in 1913. The station was evaluated in 1983 as likely eligible as a contributor to a historic district, should one be identified. The station reflects the high architectural quality of the spacious contemporary homes on large lots surrounding it. Consequently, it is considered eligible under Criterion 3/C for its architectural quality, despite the 1954 additions that are reversible and do not detract from its original design. The historic station structure is located east of the tracks.

Environmental Impact Analysis

The proposed closure of the Atherton station would include removal of the center platform, removal of the vending machine, informational panels and the bike locker, and installation of a fence. No modifications to the historic station structure itself would occur as part of the station closure activities listed above. The removal of the vending machine, informational panels, and bike locker would remove elements that contrast with the historic appearance of the station structure.

While the center platform would be removed, the station would remain adjacent to the operating railroad tracks which will retain the context and association of railroad operations consistent with historic railroad operations. The fence will not block the visual association of the station with railroad operations. The proposed barrier fence would include a wrought iron design in front of and extends south and north of the station structure that measure approximately 900 feet long and 8 feet in height, which will provide a compatible visual character relative to the station character. Additional vegetation and landscaping may also be installed separately by the Town of Atherton but is not presumed in this addendum. Closure of the station and the associated physical modifications would have no adverse impact on the attributes that make the Atherton Station appear to meet the criteria for listing in the NRHP and CRHR, and the station itself would not be directly affected.

At the Millbrae Station, the historic depot structure is located south of the current operating Caltrain/BART Station and that structure remains an eligible historic resource even though it is no longer used as a railroad station and even though that structure was actually relocated from its original location. The Atherton Station structure would remain at its original location and orientation to the tracks unlike the Millbrae historic station structures, which reinforces the conclusion above that the Atherton Station will retain its attributes that make the station eligible for listing in the NRHP and CRHR.

3.5 EMI/EMF

The proposed station closure would not change the location of the PCEP overhead contact system (OCS) and would not change the generation of electromagnetic fields or potential electromagnetic interference associated with train and OCS operations.

The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding EMI/EMF compared to those disclosed in the Final EIR.

3.6 Geology, Soils, Seismicity

The proposed station closure would include removal of the center platform and other minor improvements at the station. No major excavation is included in the closure actions. While soil will be disturbed during platform removal, all construction would adhere to National Pollutant Discharge Elimination System (NPDES) requirements under the Construction General Permit (CGP). The CGP requires development of a Stormwater Pollution Prevention Plan (SWPPP, see description in the EIR, Section 3.9, Hydrology and Water Quality) which would prevent any substantial soil erosion.

The proposed station does not include the construction of any buildings and thus there are no concerns regarding expansive soils, seismicity, or liquefaction.

The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding geology, soils, and seismicity that were analyzed in the Final EIR.

3.7 Greenhouse Gas Emissions

The removal of the center platform, the vending machine, informational panels, bike lockers and the construction of the new fence would require standard construction equipment but would not require use of any equipment not already in use for the PCEP overall. The removal of the vending machine, informational panels, bike lockers and the construction of the new fence would require minimal equipment operations and thus minimal additional greenhouse gas (GHG) emissions. The removal of the center platform would involve the use of jackhammers, concrete saws, excavators and haul trucks to remove the debris and this equipment and vehicles would result in a limited increase in GHG emissions overall for the PCEP.

As noted above, the station closure would increase overall system ridership which will increase the amount of reduced vehicle miles traveled and associated GHG emission reductions compared to that discussed in the Final EIR. Train operations would also be more efficient with the elimination of the Hold Out Rule, which will lower electricity consumption and associated power plant GHG emissions compared to that discussed in the Final EIR. Overall, the operational GHG emission reduction benefits of the PCEP will increase.

The operational GHG emission reduction benefits will more than compensate for the limited increase in GHG emissions due to construction equipment and vehicles for the removal of certain station facilities.

The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding GHG emissions and would increase overall GHG emission reduction benefits compared to that disclosed in the Final EIR.

3.8 Hazards and Hazardous Material

Environmental Setting

The station is surrounded by residential areas and the town center complex of buildings.

Per the Final EIR, contaminants of concern along the Caltrain ROW due to prior railway operations include arsenic, lead, and total petroleum hydrocarbons.

Based on the search of DTSC's online [EnviroStor database](#) and the SWRCB's online [GeoTracker database](#) (as of June 14, 2020), there are no listings of prior hazardous material release sites at the Atherton Station or the adjacent area.

The search identified a cleanup site located at 1438 El Camino Real, which is approximately 3,800 feet southeast of the project site. A dry-cleaning facility once operated at this site from 1963 to 1976. Investigation has shown the presence of perchloroethylene (PCE) in groundwater, soil and soil gas at the site and the immediate adjacent properties. Further investigation is underway. However, based on distance, this environmental condition does not pose a concern to the station closure site.

The search also identified a former leaking underground storage tank (LUST) site is located approximately 1,700 feet southwest of the Atherton Station. The site has been a residence for the past 50 years and the diesel UST was installed by the property owner as a heating fuel tank. The tank was removed from the property on December 10, 2004 and following its removal, a puddle of fuel was observed in the bottom of the excavation. The listed street address is 36 Winchester Drive; the San Mateo County Health Department determined that no further action was required for this tank in 2005.

The nearest school to the Atherton Station is Garfield Elementary which is over 1,700 feet from the station. The station is not in an area with high potential for wildfire.

Environmental Impact Analysis

The Atherton Station is not a location of known prior hazardous material release or contamination based on database searches. Soils along the railroad tracks may contain legacy contaminants from historical railroad operations. The site does not appear to be an area of high likelihood of contaminated media.

The proposed station closure would include a limited increase in construction activity compared to that disclosed in the Final EIR, but this increase would not substantially change the potential for hazardous material or petroleum spills from construction equipment. Construction will not require substantial soil excavation or disruption. Construction will follow applicable state and federal requirements for handling hazardous materials and petroleum.

No impacts related to hazardous materials and schools would occur because there are no schools close to the project site. No impacts related to wildfire would occur because the project is in a developed area that does not have a high potential for wildfire.

The change in Caltrain operations would not change any hazardous material use or conditions relative to that disclosed in the Final EIR.

The impact determinations identified in the Final EIR would not change. The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding hazards and hazardous materials that were analyzed in the Final EIR.

3.9 Hydrology and Water Quality

Environmental Setting

The Atherton Station site does not contain waters or wetlands on-site or adjacent to the work area and the work areas are located outside the 100-year floodplain.

Environmental Impact Analysis

Construction would have similar effects to those disclosed in the EIR. Construction activities would adhere to National Pollutant Discharge Elimination System (NPDES) requirements under the Construction General Permit (CGP). As described in the EIR, the project would comply with the municipal stormwater requirements, good housekeeping practices, and related requirements.

The proposed station closure would remove existing impervious space associated with the center platform. This will lower the amount of new impervious space associated with the PCEP overall and will allow for additional potential infiltration.

The proposed station closure activities would not be located within the 100-year floodplain and thus would not redirect or impede flood flows. Because excavation associated with center platform will be shallow, groundwater is not expected to be encountered during construction.

Caltrain operations would not change in any way relative to hydrology and water quality.

The impact determinations identified in the Final EIR would not change. The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding hydrology and water quality that were analyzed in the Final EIR.

3.10 Land Use and Recreation

Environmental Setting

The Atherton Station is adjacent to residences on the east and the Atherton Civic Center on the west. There are no recreational facilities within the project area.

Environmental Impact Analysis

The only new site improvement would be a safety fence along the southbound track to reduce the potential for people to wander onto the tracks. This fence will be compatible with the adjacent Atherton Civic Center which is currently undergoing a major renovation.

With removal of the station, trains will no longer be required to sound horns when transiting through the station. This will reduce noise for adjacent homes and the Civic Center users, which will be a benefit.

The impact determinations identified in the Final EIR would not change.

The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding land use and recreation that were analyzed in the Final EIR.

3.11 Noise and Vibration

The nearest sensitive receptors are residences located approximately 60 to 80 feet east of the center platform.

Environmental Impact Analysis

Construction

The removal of the center platform, the vending machine, informational panels, bike lockers and the construction of the new fence would require typical construction equipment.

The removal of the vending machine, informational panels, bike lockers and the construction of the new fence would require minimal equipment operations and would generate only minimal noise that would not result in significant noise impacts.

The removal of the center platform would involve the use of jackhammers, concrete saws, excavators and haul trucks to remove the debris which will result in noise during center platform removal. Noise levels associated with typical construction equipment is described in Table 3.11-7 in the Final EIR. Concrete saws ([90 DBA @ 50 feet](#)) and jackhammers ([89 DBA @ 50 feet](#)) would likely be the noisiest equipment used and are one to two decibels louder than the loudest equipment listed in Table 3.11-7.

Mitigation Measure NOI-1a from the EIR will apply to construction activities and requires implementation of a construction noise control plan that includes a community liaison program, use of newer equipment, construction methods near methods to reduce noise, deliveries of materials and equipment prioritized for daytime use, control of idling equipment where feasible, temporary noise barriers where feasible, avoidance of construction adjacent to residential areas in evening, nighttime, weekend, and holiday hours where feasible, and noise monitoring.

As the Final EIR described, although the measures specified in Mitigation Measure NOI-1a would generally reduce the construction noise levels, the measures would not necessarily guarantee that sensitive residential receptors would not be exposed to noise levels exceeding the 80 dBA limit during the day or the 70 dBA limit at night. In specific, given the active railroad, it is possible that center platform removal may have to be conducted on weekends or at night to avoid disruption of passenger rail operations and to complete the project on schedule. The other station work (fencing, removal of other improvements) can be conducted during the day during the week, but platform removal likely cannot be completed during daytime during weekdays only because the platform is in the middle of the active tracks.

The Final EIR disclosed that “Construction-related noise would be short-term and would cease after the construction is completed. Still, even with mitigation, the impact of temporary construction-related noise on nearby noise sensitive receptors would remain a significant and unavoidable impact, in particular where heavy construction would occur immediately adjacent to residences and where construction would occur at night near residences.” Because the Final EIR disclosed the potential for a short-term temporary significant noise impact, the addition of the proposed station closure construction activity to the PCEP would not result in identification of a new significant noise impact. In addition, although there would be an increase in the short-term temporary noise impact at this one location, because the construction activity is limited in scale and duration, for the project as a whole, the addition of the proposed station closure to the PCEP would not result in substantial increase in the severity of the impact disclosed in the Final EIR.

Operations

As noted above, the station closure would eliminate the requirement for trains to sound their horns coming through the station. This will lower train noise for adjacent residents and for Civic Center users. As the PCEP proposes an increase from 92 to 112 trains per day the lowering of sounding or horns will be a notable reduction in operational noise adjacent to the station.

Conclusion

The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding noise and vibration and would result in lower operational noise impacts compared to that disclosed in the Final EIR.

3.12 Population and Housing

The proposed station closure would not displace any houses and thus would have no effect on population. Construction employment would likely be drawn from workers already resident in the Bay Area. If workers are drawn from outside the area, there could be a minor increase in population and housing demand during construction, but this would not be expected to result in any housing displacement.

The impact determinations identified in the Final EIR would not change. The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding population and house that were analyzed in the Final EIR.

3.13 Public Services, Utilities, and Energy

Construction would not increase demand for public services. Unexpected utility service interruptions will be avoided during construction through standard utility avoidance practices. Construction will require a slight increase in energy consumption, but not in any substantial way that would change energy consumption overall or would result in significant impacts.

Caltrain system operational demand for public service or utilities would be unchanged. As noted above, the station closure would increase overall system ridership which will increase the amount of reduced vehicle miles traveled and association vehicle fuel consumptions compared to that discussed in the Final EIR. Train operations would also be more efficient with the elimination of the Hold Out Rule, which will lower electricity consumption compared to that disclosed in the Final EIR. The proposed station closure would lower the operational energy consumption relative to that disclosed in the Final EIR and the operational energy consumption reduction would more than offset the slight increase in construction energy use.

The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts regarding public services and utilities and would lower energy use compared to that disclosed in the Final EIR.

3.14 Transportation

Environmental Setting

Access to the Atherton Station is via Fair Oaks Lane from El Camino.

Environmental Impact Analysis

Impacts to transportation during construction would be like those described in the Final EIR. Delivery of equipment and worker commutes will temporarily contribute to overall traffic along the adjacent roadways, some of which experience rush hour congestion. Construction will not require any road

closures. **PCEP EIR Mitigation Measure TRA-1** (Implement Construction Road Traffic Control Plan) would apply to all construction activities. Due to the limited amount of additional construction traffic, there would be no substantial change in construction period effects. In addition, as discussed below, traffic delay is no longer considered a significant impact under CEQA, and thus even if construction traffic were higher than disclosed in the Final EIR, this would not be relevant to the CEQA determination of impacts.

As noted above, the station closure would increase overall system ridership which will increase the amount of reduced vehicle miles traveled compared to that discussed in the Final EIR. Thus, the station closure will have no significant impact related to VMT and would have a VMT benefit.

Operationally, the station closure will reduce localized traffic around the Atherton Station and approaches and increase traffic around the Redwood City and Menlo Park stations as well as at the station or stations that receive additional services stops. The Final EIR disclosed significant traffic delay impacts (measured in terms of level of service – LOS) at intersections near the Redwood City and Menlo Park stations due to a combination of station traffic and increased gate-down times at nearby at-grade crossings. However, traffic delay (measured by LOS) is no longer considered a significant impact under CEQA. In December 2018, updated CEQA guidelines specified that measures of traffic delay or congestion (such as LOS) are no longer appropriate to determine transportation impacts under CEQA per the requirements of Senate Bill 743. Thus, even if the displacement of ridership from the Atherton Station to nearby stations or the increase of ridership at other Caltrain system stations as a result of increased service stops elsewhere were to worsen traffic delays, this would not be a significant impacts under CEQA. Thus, there is no need for analysis of the potential for such traffic impacts to determine whether or not they would actually be worse than disclosed in the Final EIR.

The proposed station closure would not result in new significant impacts or a substantial increase in the severity of impacts (as defined by current CEQA guidelines) regarding transportation that were analyzed in the Final EIR.

3.15 Cumulative

No new or substantially more severe impacts were identified with implementation of the proposed station closure compared to the impacts disclosed in the Final EIR. Therefore, changes in cumulative impacts are not expected. The impact determinations identified in the Final EIR would not change.

3.16 Alternatives

No new or substantially more severe impacts were identified with implementation of proposed station closure compared to the impacts disclosed in the certified EIR. Therefore, analysis of additional alternatives is not warranted.

4. Conclusion

This addendum analyzes the proposed closure of the Atherton Station and compares the potential environmental impacts to the analysis in the 2015 Final EIR on continued and expanded Atherton Station service. This analysis was completed to determine the requirement for further environmental

documentation pursuant to the State CEQA Guidelines sections 15162, 15163 and 15164. This analysis has identified no new or substantially more severe impacts compared with those identified and evaluated in the 2015 Final EIR. Mitigation measures identified in the 2015 Final EIR would be applied to construction actions associated with station closure, as relevant, to reduce or avoid significant impacts. With the application of these previously identified mitigation measures, no new significant impacts or substantial increases in the severity of previously identified impacts requiring revisions to the 2015 Final EIR would occur. No new mitigation measures are required for the adoption and implementation of the station closure.

PENINSULA CORRIDOR JOINT POWERS BOARD



Title VI Equity Analysis
Closure of Atherton Station – FY2021
October 2020

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Proposed Closure of Atherton Station

Title VI Equity Analysis

PURPOSE AND EXECUTIVE SUMMARY

Title VI of the Civil Rights Act of 1964 (42 U.S.C. §§ 2000d et seq.) (Title VI) mandates that “no person in the United States shall, on the basis of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance.” The Peninsula Corridor Joint Powers Board (JPB) has committed to complying with the Federal Transit Administration (FTA) Title VI objectives set forth in Circular 4702.1B, which implements Title VI, ensuring that FTA-assisted benefits and related services are made available and are equitably distributed without regard to race, color, or national origin.

This Title VI Equity Analysis, which has been prepared in conformity with Chapter IV of the FTA’s Circular 4702.1B, evaluates whether the closure of Caltrain's Atherton Stations and resulting weekend service changes, which are consistent with proposed agreements between the Town of Atherton (the Town) and the JPB, would result in any potentially discriminatory effects for minority or low-income populations. If approved, the station closure is estimated to commence on November 5, 2020 with an estimated completion date of February 1, 2021.

The proposed changes would permanently end Caltrain service to Atherton Station, which provided limited, weekend-only service every 90 minutes prior to the COVID-19 pandemic. Approximately 114 riders utilized the station per average weekend day prior to the pandemic, whereas Atherton’s neighboring stations (Redwood City to the north and Menlo Park to the south) averaged 4,220 and 1,639 weekday boardings, respectively, and 523 and 435 boardings per weekend day.

Applying the JPB’s Title VI policies, this analysis confirms that the closure of Atherton Station and resulting Caltrain service changes **will not have a disparate impact on minority riders nor impose a disproportionate burden on low-income riders.**

BACKGROUND

CALTRAIN OVERVIEW

The JPB operates Caltrain, which provides commuter rail service between Santa Clara, San Mateo, and San Francisco Counties. The service area – extending from Gilroy in the south to San Francisco in the north – is geographically and ethnically diverse, containing both dense urban cores and suburban landscape with residents from an array of different backgrounds. These factors make the Caltrain service area unique. To serve the region in Fiscal Year 2020 (before the COVID-19 pandemic), Caltrain operated 92 weekday trains, 36 Saturday trains, and 32 Sunday trains carrying approximately 19 million passengers per year. **Attachment 1** provides a copy of the Caltrain Service Map. **Attachment 3** contains combined minority demographic maps where the minority population is broken out by tract group using the U.S. Census Bureau's 2018 American Community Survey (ACS) Data. Minority Census tracts are defined as those in which the minority population exceeds the system-wide minority average of 58%. **Attachment 3** also contains low-income demographic maps where the service area's low-income population is broken out by tract group using ACS data. Low-income tract groups are defined under the JPB's Title VI Program as those in which more than 13.9% of households have incomes under \$25,000.

JPB TITLE VI POLICIES

As a federal grant recipient, the JPB is required to maintain and provide to the FTA information on its compliance with Title VI regulations. At a minimum, it must conduct periodic compliance assessments to determine whether its services are provided in a nondiscriminatory manner consistent with the law. The JPB performs a self-assessment every three years, and when it undertakes a change in its fares or a significant change in service.

In accordance with FTA Circular 4702.1B, grantees must evaluate all major service changes to determine whether those changes have a discriminatory impact. In the case of a service reduction, a disproportionately high and adverse effect is one that (1) is predominately borne by a minority population and/or low-income population, or (2) will be suffered by the minority population and/or low-income population and is appreciably more severe or greater in magnitude than the adverse effect that will be suffered by the non-minority population and/or non-low-income population.

To guard against discriminatory impacts in decision-making and establish thresholds for use in equity analyses of service and fare changes, the FTA requires each large public transportation provider's governing board to approve three policies:

- Major Service Change Policy
- Disparate Impact Policy
- Disproportionate Burden Policy

The JPB's Title VI policies follow. Board approval of these policies are evidenced in **Attachment 2**.

MAJOR SERVICE CHANGE POLICY

All major increases or decreases in transit service or station closures are subject to a Title VI Equity Analysis prior to Board approval of the change. A Title VI Equity Analysis must be 1) completed for every major service change; 2) presented to the JPB Board of Directors for its consideration and 3) included in the JPB's Title VI Program with a record of action taken by the Board.

A Major Service Change is defined by the JPB policy as any service change meeting one or both of the following criteria:

- A reduction or increase of 25 percent or more in total revenue train miles per day for the service day of the week (weekday, Saturday, or Sunday) for which the change is made.
- A greater than 50 percent reduction or increase in the number of stops at a station per day for the service day of the week (weekday, Saturday, or Sunday) for which the change is made. Note: Any temporary or interim change¹ due to construction or maintenance projects is exempted from the definition and is not considered a "major service change."

DISPARATE IMPACT POLICY AND DISPROPORTIONATE BURDEN POLICIES

In the course of performing a Title VI Equity Analysis, the JPB must analyze how a proposed major service change or fare change would impact minority as compared to non-minority populations, and low-income as compared to non-low-income populations. The results of this analysis are then compared with the thresholds in the JPB's Disparate Impact and Disproportionate Burden policies.

DISPARATE IMPACT POLICY

The JPB established its Disparate Impact threshold at 10 percent based on the cumulative impact of the proposed service and/or fare changes. This threshold applies to the difference of the impacts borne by minority populations compared to the same impacts borne by non-minority populations.

In the event the proposed action has a negative impact that affects minorities more than non-minorities with a disparity that exceeds the adopted 10-percent threshold, or that benefits non-minorities more than minorities with a disparity that exceeds the adopted threshold, the JPB

¹The FTA applies a 12-month limit to the "temporary" service change exemption in Major Service Change policies

must (a) consider modifying the proposal to eliminate the disparate impact, (b) analyze whether the disparate impact has been eliminated by the modification, and (c) demonstrate (i) a substantial legitimate justification for the proposed change and (ii) that the proposed change is the least discriminatory alternative.

DISPROPORTIONATE BURDEN POLICY

The JPB established its Disproportionate Burden threshold at 10 percent based on the cumulative impact of the proposed service and/or fare changes. This threshold applies to the difference of the impacts borne by low-income populations compared to the same impacts borne by non-low-income populations.

In the event the proposed action has a negative impact that affects the low-income populations more than non-low-income populations with a disparity that exceeds the adopted threshold, or that benefits non-low-income passengers more than low-income passengers with a disparity that exceeds the adopted threshold, the JPB must take steps to avoid, minimize or mitigate impacts where practicable.

PUBLIC ENGAGEMENT ON POLICY DEVELOPMENT

FTA Circular C 4702.1B requires transit agencies to seek public input before Board adoption of Disparate Impact and Disproportionate Burden policies. JPB staff developed draft policies and requested public input through four community meetings throughout the Caltrain Service area, which spans three counties: San Francisco, San Mateo, and Santa Clara. The JPB requested comments be made through mail, telephone, and dedicated e-mail address (TitleVI@caltrain.com).

The Title VI community meetings were held at the following times and locations:

Tuesday, Feb. 12, 2013 - 6:30 p.m. to 8:00 p.m.

Gilroy Senior Center, Meeting Room
7371 Hanna St, Gilroy

Thursday, Feb. 21, 2013 - 10:45 a.m. to 11:30 a.m.

Second floor auditorium, Caltrain Administrative Offices
1250 San Carlos Ave, San Carlos

Tuesday, Feb. 26, 2013 - 5:00 p.m. to 6:30 p.m.

Bay Area Opera House
4705 Third St, San Francisco

Wednesday, Feb. 27, 2013 - 6:30 p.m. to 8:00 p.m.

Mountain View City Hall, Plaza Conference Room

500 Castro St, Mountain View

The JPB also reached out to the following Community groups and leaders:

San Francisco County

- Asian Pacific American Community Center
- Bayview Hill Neighborhood Association
- Bayview Merchants Association
- Better Bayview
- Brite/4800 Third St Neighbors
- Dogpatch Neighborhood Association
- Hunters Point Shipyard CAC
- India Basin Neighborhood Association
- Potrero Boosters
- Potrero Hill/Dogpatch Merchants Association
- Visitacion Valley Planning Alliance

San Mateo County

- All City Managers
- All Mayors

Santa Clara County

- All City Managers
- All Mayors
- Postings to City Council member Newsletters:
 - Ken Yeager
 - Ash Kalra
- Public Advocates
- Transform
- Urban Habitat

Although there were several outreach methods used, including Caltrain website postings, Take One notices printed in English and Spanish, Visual Message Signs at all Stations, Community Meetings, News Releases, Advertisements in several newspapers, and Social Media postings (in accordance with the Caltrain Title VI Outreach Plan), there was very limited feedback received by meeting attendees or other community members. Staff revised the proposal for its standards and policies and submitted them for Board approval. They were approved April 4, 2013 (refer to **Attachment 3**).

More information regarding Caltrain's Title VI policies and standards can be found here: <http://www.caltrain.com/riderinfo/TitleVI.html>

JPB TITLE VI SERVICE CHANGE ANALYSIS

PROPOSED SERVICE CHANGES

Over the last decade (not including the past six months since the beginning of the COVID-19 pandemic), Caltrain has experienced a substantial increase in ridership and anticipates further increases in ridership demand as the Bay Area’s population grows. The Caltrain Modernization Program, scheduled for implementation by 2022, will electrify and upgrade the performance, operating efficiency, capacity, safety and reliability of Caltrain’s commuter rail service. Over the last several years, Caltrain has undertaken significant planning work to consider its long-range future through 2040, and in 2019 the JPB adopted the Caltrain Long Range Service Vision – a blueprint for how the railroad will grow and expand its services for years to come.

In anticipation of a time when rail service is in high demand and rail line capacity is increasingly scarce, the JPB proposes to close Atherton station. The Atherton Station has an older, “center-boarding” configuration that requires pedestrians to cross the tracks to access the boarding platform. This substandard configuration limits train operations through the station, as trains operating in the other direction must “hold out” while a train is boarding. As Caltrain service increases post electrification, the need for trains to “hold out” will create an operational bottleneck that will increasingly constrain the overall system. Beyond the holdout rule, land uses around the Atherton station area are relatively fixed and low density, meaning the prospect of future ridership growth is limited. Providing service to the Atherton station slows the overall runtime of trains and complicates stopping patterns- limiting Caltrain’s ability to expand service at other stations along the line where the potential for future ridership growth is higher.

Closure of Atherton station would provide significant benefits to both the Town and Caltrain. Caltrain could re-allocate service to adjacent stations in Redwood City and Menlo Park where denser land uses and improved travel times (resulting from removal of the “hold out rule) will generate more ridership and provide a broader benefit to the public. Closure of Atherton station would also obviate the need for a costly and disruptive station upgrade to remove the holdout rule, at a cost estimated several years ago at \$30 million. It also allows the Town to integrate the station property into the Civic Center development.

Closure of the station would also would improve safety through more restrictive access to the track and platform. As noted above, the current “center-boarding” configuration requires passengers to cross the tracks to access the boarding platform.

On January 8, 2020, the JPB sent a letter to the Atherton City Manager requesting the Town’s support for the full closure of the Atherton Caltrain station (**Attachment 4**). On January 15, 2020, the Atherton City Council tentatively agreed to accept the permanent closure proposal from JPB, pending negotiation of an associated Memorandum of

Understanding.

Caltrain suspended regular weekday service to Atherton station in 2005. At that time, average weekday ridership was approximately 122 passengers per day. The JPB made a policy commitment to restore regular weekday service to Atherton Station following the electrification of the corridor. This commitment is documented in the 2015 Environmental Impact Report for the Peninsula Corridor Electrification Project. The JPB estimates that the closure of the Atherton Station has the potential of *increasing* daily ridership by 300-500 passengers due to resulting system improvements. The JPB would also realize cost savings associated with operations and maintenance, as well as the elimination of needed station area upgrades (described above and estimated at \$30 million dollars). Reopening Atherton Station for regular weekday service would likely require various changes in public use of surrounding property, as only limited parking spaces are available for use at the Town center and in the surrounding community.

As stated above, Caltrain currently provides limited, weekend-only service to Atherton Station. Prior to the COVID pandemic and related shelter in place orders, approximately 114 riders utilized the station per average weekend day whereas the two neighboring stations (Redwood City to the north and Menlo Park to the south) averaged 4,220 and 1,639 boardings, respectively, per weekday and 523 and 435 boardings per weekend day. Closure of Atherton Station would steer weekend passengers to Menlo Park and Redwood City, which they already utilize for weekday service.

In sum, closure of Atherton Station would improve safety, reduce travel times, and could facilitate increased service at Redwood City and Menlo Park stations.

With a portion of Caltrain's station property no longer needed to support operations, the Town could stage and construct the Atherton Town Center project and potentially facilitate use of the property to enhance Town Center development. These areas could include the existing station building and a portion of the station area used for parking.

The JPB and the Town are completing negotiations of and identifying funding for a Memorandum of Understanding (MOU), potentially including the following elements:

- Installation of safety fencing along the Atherton rail station area.
- Removal of the Atherton station center boarding platform and access crossings.
- Re-purposing of the Atherton Station non-operating property, including the existing station building, parking area, site landscaping and other related improvements along the rail corridor allowing for integration of the station building into the Town Center complex and aesthetic and safety separation from the active rail corridor.
- Implementation of four-quadrant gates, and related safety improvements, at the Watkins Avenue rail crossing.
- Study and implementation of access improvements connecting the Atherton Town Center to the Menlo Park Caltrain Station.
- Cooperation with the Town should the Town elect to expand a Quiet Zone within the

Town limits.

The MOU would be accompanied by a Maintenance and Use Agreement for the Town use and maintenance of station property outside the operating right-of-way.

Prior to the JPB Board taking action on the closure of the station, and in addition to completion of this equity analysis, the JPB must complete the following activities:

1. Prepare and approve an addendum of the environmental analysis/evaluation completed for the Peninsula Corridor Electrification Project in accordance with the California Environmental Quality Act and National Environmental Policy Act;
2. Complete negotiations of the above-described MOU and identify funding sources for related improvements;
3. Complete negotiations of the above-described Maintenance and Use Agreement; and
4. Set a date for station closure (currently estimated for December 1, 2020 with completion by February 1, 2021).

FINDINGS OF MAJOR SERVICE CHANGE

The proposed Atherton Station closure and related elimination of weekend service at the station is considered a “Major Service Change” in Caltrain’s adopted policy under the criteria “A greater than 50 percent reduction or increase in the number of stops at a station per day for the service day of the week (weekday, Saturday, or Sunday) for which the change is made.” The closing of Atherton Station would eliminate all stops for its service (Saturday and Sunday), resulting in a greater than 50 percent reduction. Upon station closure, Caltrain would permanently remove Atherton Station from any printed or online schedule.

EFFECTS ON MINORITY AND LOW-INCOME POPULATIONS

Methodology

The methodology used to analyze the impact of the closure of Atherton Station on minority and low-income populations consisted of the following steps, which are discussed in more detail below:

1. Determining data sources
2. Defining the term "low-income" to mean those with a reported annual household income below \$25,000.
 - Defining the term "minority" to mean those who self-identified as any ethnicity other than "white" alone.
 - Analyzing data from 2018 American Community Survey (ACS) for low-income and minority populations to determine the demographics of the JPB's service area.
 - Selecting ACS data to capture the necessary low-income and minority populations within the Atherton Station's catchment area (within 1 mile of Atherton Station).
3. Defining possible adverse effects and benefits that could result from the service changes, and determining net effects associated with the various elements of the proposed changes.
4. Utilizing the ACS survey data to analyze the distribution of potential adverse effects and benefits to evaluate distribution of net effects on minority and non-minority, and low-income and non-low-income, populations.
5. Comparing the differentials in adverse effects to the thresholds in the JPB's Disparate Impact Policy and Disproportionate Burden Policy.

Step 1: Data Source Selection

The comparison population for this analysis is the population data of the area around Atherton Station as compared to the population of the JPB's service area. FTA Circular 4702.1B indicates that ridership data is typically the appropriate dataset for elimination of service, and it is preferable to have both ridership and Census data to analyze the community impacts. However, adequate ridership data for Atherton Station is unavailable. The 2019 Caltrain Triennial Customer Survey yielded only four responses from Atherton station out of approximately 5000 surveys. These minimal results that would not be statistically representative of Atherton riders. The COVID-19 pandemic has further limited opportunities to collect adequate demographic information from riders that board or alight at Atherton station. Beginning in March 2020, daily ridership on Caltrain decreased by 90%. In addition, the JPB has reduced Caltrain service to address financial concerns and lack of ridership. To avoid misrepresentation and an inaccurate analysis, ridership data was not used as a data source.

In order to ensure that the JPB Board makes a fully informed decision, this report examines the potential impacts to minority and low-income communities utilizing the Atherton Station, and compares those populations to the demographics of the overall Caltrain service area.

First, Caltrain service area demographics related to minority and low-income populations were

established using the ACS 2018 Census through Remix Explorer.

Caltrain Service Area

Minority Populations: 62.6%

Low-Income Population: 23.3%

Second, staff used Remix to analyze the 2018 ACS data at the Census tract level by buffering a 1 mile radius (catchment area) around the Atherton Station.

Atherton Catchment Area

Minority Population: 57.7%

Low-Income Population: 25.2%

Map



Step 2: Defining and applying the definitions of adverse effects of the Atherton Station Closure.

As required under the FTA's guidance, staff considered how the proposed service changes would impact Caltrain customers.

Closure of Atherton Station would have an adverse effect on the persons living in the catchment area around the station. In general, passengers previously using Caltrain to board or disembark at Atherton Station would have to travel an additional 2.8 miles (Redwood City Station) or 1.4 miles (Menlo Park Station). Atherton Station is located in Caltrain Fare Zone 3, which is the same as Menlo Park, but a different Fare Zone from Redwood City.

The adverse effects associated with the proposed station closure are as follows:

Increased Commute times: Passengers will have to alter their schedules or plan their weekend trips using Menlo Park or Redwood City Station. This may include planning to use additional transit modes and adjusting schedules.

Ticket Price Adjustments: Passengers traveling Southbound that would normally alight at Atherton would either provide the same fare when disembarking at Menlo Park or save money when disembarking at Redwood City. Passengers going Northbound would pay the same fare amount when alighting at Menlo Park, but pay an additional cost if disembarking in Redwood City.

Step 3: Applying Census Results for Proposed Weekend Service Changes to Caltrain Service Area Data

Staff used the ACS population data to calculate the percentage of minority and low-income riders impacted by the proposed closure as compared to the percentage of non-minority and non-low-income passengers, overall.

DISPARATE IMPACT

There is no finding of any Disparate Impact associated with the proposed closure of Atherton Station and resulting Caltrain service changes. While the majority of the population of the catchment area around Atherton Station is minority (not white), the proportion of minorities in the catchment area is lower than the proportion in the JPB's service area as a whole. As a result, there is no disparate impact on minority populations from the closure of Atherton Station. Exhibit 1 provides a summary of the comparison of data.

Exhibit 1: Disparate Impacts Summary

	Total Number of Minority Population	Percentage of Minority Population	Total Number of Non-Minority Population	Percentage of Non-Minority Population
Atherton Catchment	8,289	57.7%	6,077	42.3%
Caltrain Service Area	416, 230	62.6%	248,674	37.4%
Difference		- 4.9%		4.9

A positive 10 percent difference between impacted minority populations and impacted non-minority populations would generate a disparate impact.

DISPROPORTIONATE BURDEN

There is no finding of any Disproportionate Burden associated with the proposed closure of Atherton Station and resulting service changes. The proportion of low-income persons in the population of the catchment area around Atherton Station exceeds the proportion of low - income persons in the JPB's service area as a whole by 1.9%. However, this differential is less than the ten percent threshold in the JPB's Major Service Change Policy. Exhibit 2 provides a side-by-side comparison of low-income and non-low-income impacts. The findings illustrate that impacts do not present a disproportionate burden on affect low-income populations.

Exhibit 2: Disproportionate Burden Summary

	Total Number of Low-Income Population	Percentage of Low-Income	Total Number Non-Low-Income Population	Percentage of Non-Low-Income Population
Atherton Catchment	3,620	25.2%	10,757	74.8%
Caltrain Service Area	154,923	23.3%	509,982	76.7%
		1.9%		-1.9%

A positive 10 percent difference between impacted low-income populations and impacted non-low-income populations would generate a disproportionate burden.

Notwithstanding the fact that the burden on low-income riders does not exceed the disproportionate burden threshold, the JPB will mitigate impacts to customers from the proposed weekend service changes by promoting local transit agency services that run more frequently and provide service along the Caltrain Corridor. The SamTrans ECR route provides stops at the Redwood City, Atherton, and Menlo Park Caltrain stations.

PUBLIC ENGAGEMENT ON PROPOSED SERVICE CHANGES

DISSEMINATION OF INFORMATION, INCLUDING TO LIMITED ENGLISH PROFICIENT (LEP) PERSONS

FTA Circular C 4702.1B requires transit agencies to seek public input before Board approval for Major Service Changes or Fare Changes. The JPB's public participation process offers early and continuous opportunities for the public (including minorities and people with low incomes) to be involved in the identification of potential impacts of proposed transportation decisions. Efforts to involve minority and low-income populations include both comprehensive measures and measures targeted at overcoming language and other barriers that prevent such populations from effective participation in decision-making.

The JPB's Public Comment Policy also outlines the requirement for Public Hearings when a Major Service Change occurs. Specifically, "The complete elimination of a station stop from all trains in scheduled revenue service published in the public timetable is also considered a Major Service Adjustment." (**Attachment 2**). The closure will remove the Atherton stop from the timetable and therefore a Public Hearing is required.

The JPB's public information campaign to publicly announce the proposed closure and solicit input began with the January 8, 2020 letter from Jim Hartnett, Caltrain Executive Director, to the City Manager. The City Council of Atherton considered the request on January 15, and confirmed its preliminary agreement with the closure.

The JPB's public participation process included measures to disseminate information on the proposed service changes to LEP persons, as well as at public hearings and meetings. The public notices note that translations are available in Caltrain's 20 Safe Harbor Languages by contacting the Caltrain Customer Service Center phone number. The Caltrain Customer Service Center offers foreign language translation service via in-house translators or the Language Line.

Comprehensive measures employed by the JPB included placing public notices for the Public Hearing and the Public Meetings on the Caltrain website, printed media (see **Attachment 5**), in Caltrain news releases (see **Attachment 6**), on social media posts on Nextdoor and Twitter (see **Attachment 7**), and the presentation at the July 29, 2020 Virtual Public Meeting (**Attachment 8**). Information, including the Public Notice, (see **Attachments 9**) were posted at Atherton, Redwood City and Menlo Park stations. Caltrain staff also reached out to Community-based Organizations to inform them of the proposed closure.

The JPB reached out to the following community groups and leaders:

- Members North Fair Oaks Community Council
- Atherton Town Council
- Mayor of Atherton
- Atherton Town Residents

Measures taken to overcome linguistic, institutional, and cultural barriers that may prevent minority and low-income populations from participating in decision-making also included

publishing the public hearing notice and public meeting notices in newspapers of general circulation and various community newspapers. Notifications for the public hearing and public meetings appeared in the following newspapers (**Attachment 10**):

- On, 7/15/20, 7/22/20 and 8/20/20: San Francisco Chronicle (covering San Francisco, San Mateo and Santa Clara Counties).
- On 7/17/20, 7/24/20, 8/20 : El Observador (translated in Spanish):
- On 7/15/20 ,7/29/20, 8/20/20: Sing Tao Daily (translated in Chinese)
- On 7/10/2020 and 8/20/20: San Mateo Daily

Staff also established multiple ways for customers and the public to provide their input virtually. A webpage (www.caltrain.com/athertonclosure) was created on the Caltrain website with English, Spanish and Chinese versions for the public to submit public comment (**Attachment 10**). Other options include comment submission through the postal service, by telephone call to the Customer Service Center's general number or one for those with hearing impairments, and through the unique e-mail address changes@caltrain.com (**Attachment 11**).

As of September 22, 2020, 55 responses were submitted via the online feedback form (25 in support, 27 against the closure, and 3 with no responses). A matrix of responses can be found in Attachment 11. No written comments were submitted via the form, although a space was allocated for this option.

PUBLIC OUTREACH

As part of the Caltrain staff's efforts to improve and expand Public Outreach, a public meeting was held on July 29, at 5:30 p.m. via Zoom. An additional stakeholder virtual meeting with North Fair Oaks Leadership was held on July 15, 2020 at 1:00 p.m. Members from various organizations spoke with Caltrain Staff to hear more about the closure and provide comments. Due to region-wide COVID-19 restrictions on public gatherings as well as county Shelter in Place regulations, Caltrain staff did not participate in in-person meetings or station outreach.

The Atherton Town Council also conducted meetings to allow town area residents to provide input and comment. Caltrain staff was present at these council meetings to present and answer questions.

COMMUNITY MEETINGS

Caltrain staff conducted a Virtual Public Meeting on July 29, 2020 via Zoom. Due to in-person meeting restrictions, Caltrain staff used the Zoom platform to convene the informational session. The notice of the public meeting was placed on the website, in printed media, and via social media. All public meeting announcements provided options for interpretation and translation assistance. Approximately 11 community members attended. A summary of comments and questions from this public meeting can be found in **Attachment 12**. Caltrain staff provided information via Powerpoint and Q&A on the Atherton closure (**Attachment 8**).

Meetings open to the public included local government meetings, including the City/County Staff Coordinating Group and the Work Place and Legislative Policy Group Meetings.

A final public hearing was held during the Peninsula Corridor Joint Power Board monthly board meeting on **Thursday, September 3, 2020 at 9 a.m.**, via Zoom.

PUBLIC HEARING COMMENTS

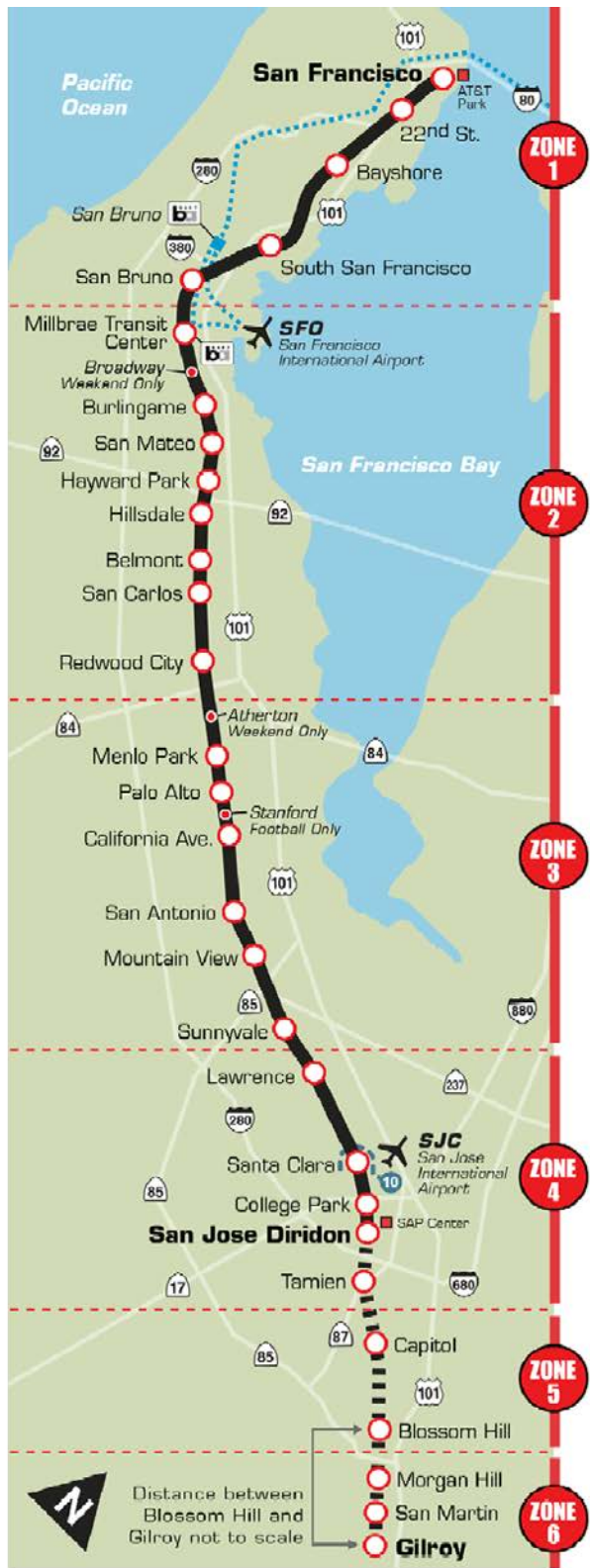
The Public Hearing on the Closure of Atherton Station occurred on September 3, 2020 at 9:00 am. Due to the COVID-19 pandemic, the meeting was held virtually via Zoom. Staff presented background information (**Attachment 8**) and next steps. Ten individuals provided public comment during the public hearing. No Board discussion occurred.

A summary of the public hearing comments and Board correspondence are compiled in **Attachment 13**. Residents of Atherton, Menlo Park, Redwood City, North Fair Oaks and South Fair Oaks submitted both written and verbal comments. While many comments were in support of the closure, a significant amount of Board correspondence were letters against the closure. These letters and e-mails encouraged Caltrain to continue weekend service and expand to weekday service. Communities stated that the convenience of the station was necessary as Menlo Park and Redwood City Stations were difficult to access without a car and both these stations would be over-crowded if Atherton Station were closed.

Comments in support of the closure encouraged Caltrain to provide a better bike path or walk way to the Menlo Park and Atherton Stations. Installing safety improvements was also a priority for residents. Others stated that limited ridership at the station coupled with the high cost of maintenance were suitable reasons for the closure.

To address some of the public's concerns, Caltrain will continue to work with the Town of Atherton in the development of an MOU that benefits the Town's infrastructure and safety of residents. As the closure of Atherton station is necessary to provide more frequent and efficient service for the entire corridor, staff continue to recommend the closure.

ATTACHMENT 1 – CALTRAIN SYSTEM MAP



**ATTACHMENT 2 – BOARD APPROVAL OF MAJOR SERVICE
CHANGE, DISPARATE IMPACT POLICY AND
DISPROPORTIONATE BURDEN POLICY**

RESOLUTION NO. 2013 – 21

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

* * *

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

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

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

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

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

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

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

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

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

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

NOES: NONE

ABSENT: WOODWARD

ATTEST:



JPB Secretary



Chair, Peninsula Corridor Joint Powers Board

MAJOR SERVICE CHANGE POLICY

SERVICE CHANGES

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

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

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

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

DISPARATE IMPACT POLICY

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

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

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

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

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

DISPROPORTIONATE BURDEN POLICY

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

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

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

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

Board Meeting Minutes (April 4, 2013)

Joint Powers Board Meeting
Minutes April 4, 2013

and Castro Street in Mountain View. Selection of these sites was coordinated with the California Public Utilities Commission and JPB staff.

Public Comment

Adina Levin, Friends of Caltrain, said the changes in the signal contract involve increasing gate down time at five intersections and re-signalizing the traffic lights. She hopes there is outreach to the affected communities.

Jeff Carter, Millbrae, said there will be some increased gate down time and when a train is at a station he hopes the gate will time out and release so traffic is not stopped the entire time the train is at the station.

A motion (Tissier/Nolan) to award a contract to Shimmick Construction for the Signal Preemption Improvement Project was approved unanimously.

AUTHORIZE THE SECOND AMENDMENT OF THE USE, OPERATING AND MAINTENANCE (UOM) AGREEMENT FOR THE MILLBRAE INTERMODAL STATION

Deputy CEO Chuck Harvey said when the Millbrae Intermodal Station was completed, the JPB entered into a cost-sharing agreement with BART to maintain the station. The costs were allocated through a cost model. This amendment codifies the agreement through FY2018 and the costs are being controlled by an agreement so they won't increase beyond the Consumer Price Index inflation.

A motion (Lloyd/Nolan) to authorize the second amendment of the UOM agreement for the Millbrae Intermodal Station was approved unanimously.

ADOPTION OF CALTRAIN TITLE VI STANDARDS AND POLICIES

Director, Rail Michelle Bouchard reported:

- The Federal Transit Administration requires approval and submission of five standards and policies.
 - The Major Service Change Policy is the criteria for determining when service change is significant enough to require a thorough analysis of potential effects on protected populations. Staff is recommending a change of 25 percent or more total train revenue miles and greater than 50 percent change in the number of trains stopping at a station per day.
 - Disparate Impact and Disproportionate Burden Policies determine the threshold when adverse effects of a fare or service changes are borne disproportionately by minority or low-income populations. Staff is recommending a 10 percent threshold.
 - Services Standards and Policies are established to monitor performance in quantifiable and qualitative measures/metrics. Service standards include vehicle load, vehicle headway, on-time performance and service availability. Service policies are vehicle assignment and transit amenities.
- Four community meetings were held and comments were accepted through March 29. Meetings were sparsely attended and only one comment was received.

Board Meeting Minutes (April 4, 2013 - Continued)

Joint Powers Board Meeting
Minutes April 4, 2013

Public Comment

Roland LeBrun, San Jose, said staff has to ensure cash customers are not targeted because most cash customers are minorities.

A motion (Lloyd/Tissier) to adopt the Caltrain Title VI Standards and Policies was approved unanimously.

LEGISLATIVE UPDATE

State Update

Executive Officer, Public Affairs Mark Simon said Acting Business Transportation and Housing Secretary Brian Kelly has formed a California Transportation Finance Working Group to explore options for meeting the State's long-term transportation funding needs and priorities. Public transit agencies will be represented on the working group through the California Transit Association. The first meeting is April 9 and one of the first things the group will be discussing is a recent report issued by the American Society of Civil Engineers which gave the State an overall grade of "C" for its infrastructure and cites "a lack of sufficient investment for the operations and maintenance of existing facilities and dedicated funding sources for new improvements to the system. There is a need for \$10 billion per year more to be spent for ongoing maintenance of existing facilities and an investment of \$36.5 billion to raise transportation to a "B" grade."

Federal Update

Mr. Simon said Congress is working to pass a continuing resolution and start work on the FY2014 appropriations process. Last year the Federal investment in the California High Speed Rail Project was a key topic during the appropriations process. Republican Congressmembers Jeff Denham and Kevin McCarthy requested the Government Accountability Office (GAO) review the project's cost, ridership and revenue projections. The GAO report released last week gave the project an overwhelmingly positive review.

Mr. Simon said there was a home value study done by the American Public Transportation Association and the Association of Realtors that showed property within a half-mile of transit sustained its value more effectively during the recession and rebounded more rapidly.

CORRESPONDENCE

No discussion.

BOARD MEMBER REQUESTS

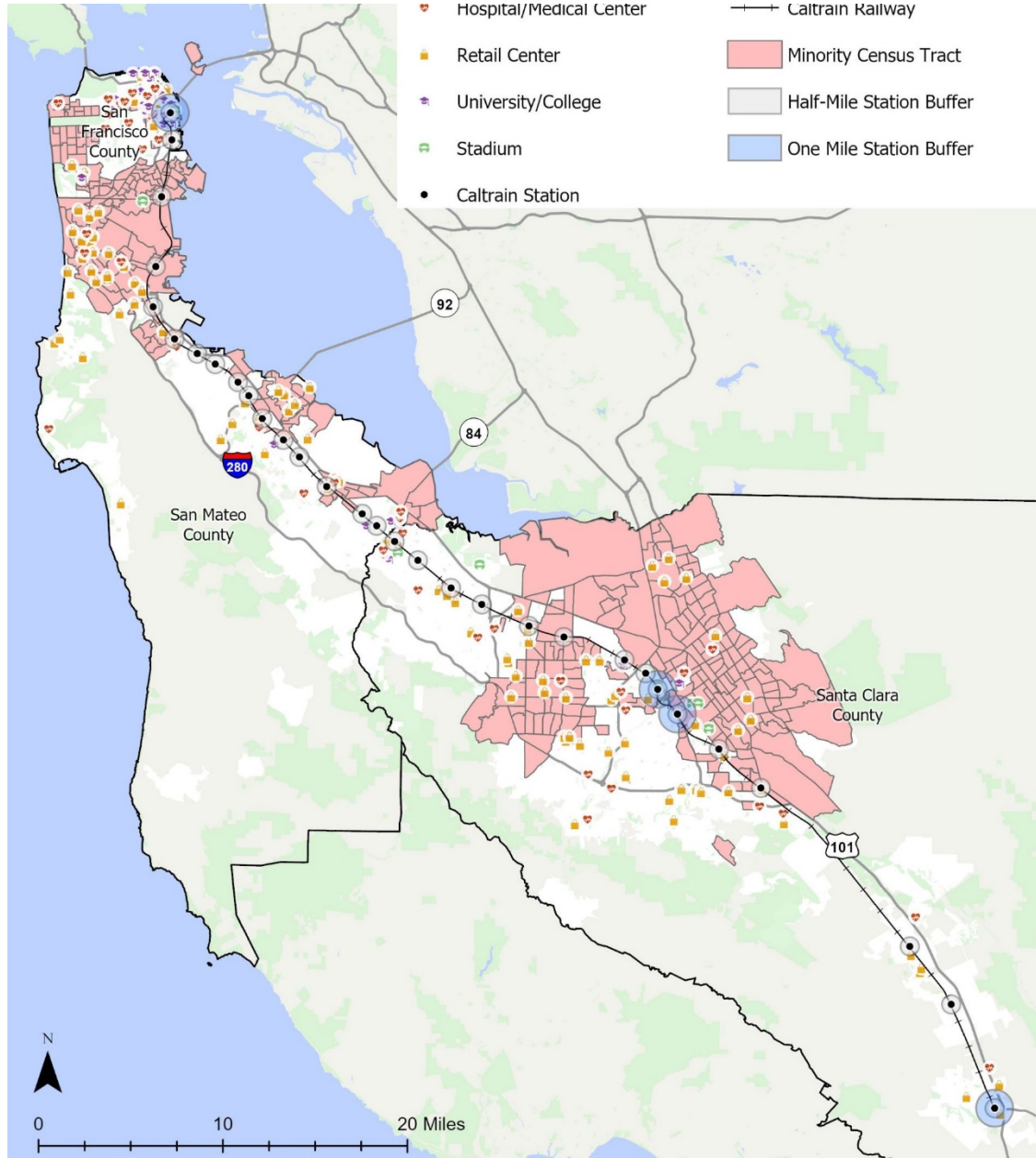
None

GENERAL COUNSEL REPORT

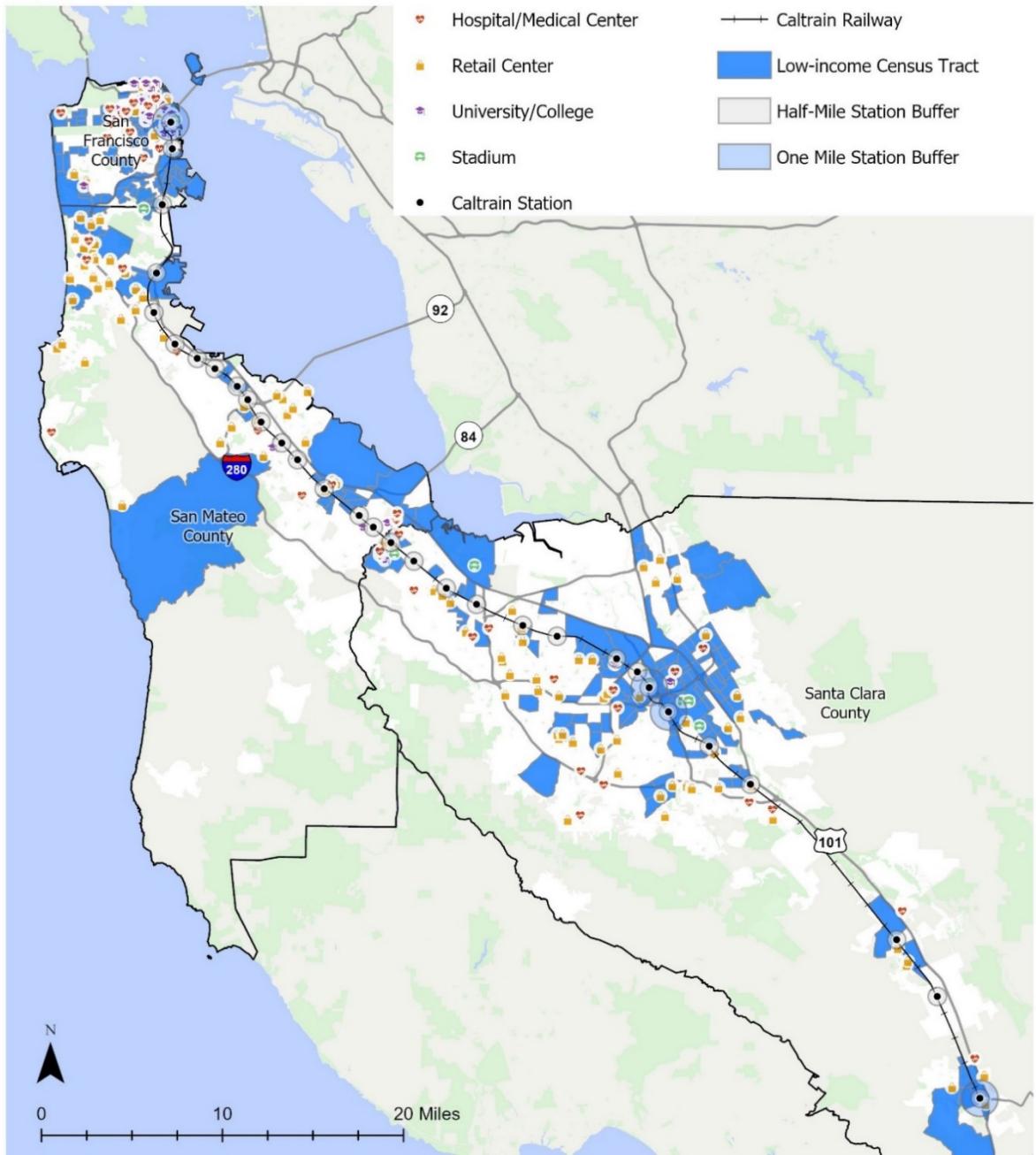
Mr. Miller said staff has contacted the general counsel for the CHSRA to see if their chair indicated Caltrain would respond to Mr. Brown's request. It is clear Proposition 1A is going to be complied with in the final analysis and the agreement that has been entered into codifies the blended system as the plan around which HSR will be designed and constructed and contains a funding plan template. Over time the funding plan will evolve as estimates are prepared and the public can be assured

ATTACHMENT 3 – SERVICE AREA DEMOGRAPHICS

MINORITY POPULATION BY CENSUS TRACT



LOW INCOME BY LOW INCOME CENSUS TRACT



JPB TITLE VI EQUITY EVALUATION- PROPOSED AHERTON STATION CLOSURE

**ATTACHMENT 4 – LETTER FROM JPB TO ATHERTON
CITY MANAGER**



January 8, 2020

George Rodericks, City Manager
Town of Atherton
150 Watkins Ave.
Atherton, CA 94027

Dear City Manager Rodericks,

We understand that the Town of Atherton has expressed interest in exploring service levels at the Atherton Station ranging from full service to closure. We believe that the closure of the Station will provide benefits to both the Town and the overall Caltrain system as further discussed below. I am writing to request official support from the Town of Atherton for the closure of the Atherton Caltrain station. Caltrain is prepared to work closely with the Town on several actions that can improve safety and help facilitate the station closure.

Background on the Atherton Caltrain Station

Regular weekday service to the Atherton station was suspended in 2005. At that time, average weekday ridership was approximately 122 passengers per day. Today, the Atherton Caltrain Station currently receives limited, weekend-only service every 90 minutes and is used by approximately 114 riders per average weekend day. By comparison, Atherton's neighboring stations (Redwood City to the north and Menlo Park to the south), average 4,220 and 1,639 boardings respectively per weekday and 523 and 435 boardings per average weekend day.

The Atherton station is also a "center-boarding" station, meaning that its platforms are arranged in a manner that features pedestrian crossings of the tracks to access the boarding platform. This configuration limits train operations through the station, as trains operating in the other direction must "hold out" while a train is boarding. While Caltrain previously had a number of such stations within its system, most have either been rebuilt or closed over the course of the last 20 years. Atherton and Broadway station in Burlingame are the only remaining stations with a center boarding configuration. (The Broadway station is proposed to be rebuilt to current standards as part of the planned grade separation of the Broadway grade crossing.)

Caltrain made a policy commitment to restore regular weekday service to the Atherton station following the electrification of the corridor. This commitment was documented in the 2015 Environmental Impact Report for the Peninsula Corridor Electrification

PENINSULA CORRIDOR JOINT POWERS BOARD
1250 San Carlos Ave. – P.O. Box 3006
San Carlos, CA 94070-1306 (650) 508-6269

BOARD OF DIRECTORS 2020

GILLIAN GILLETT, CHAIR
DAVE PINE, VICE CHAIR
CHERYL BRINKMAN
JEANNIE BRUINS
CINDY CHAVEZ
RON COLLINS
DEVORA "DEV" DAVIS
CHARLES STONE
SHAMANN WALTON

JIM HARTNETT
EXECUTIVE DIRECTOR

George Rodericks, City Manager
January 8, 2020
Page 2 of 4

Project. Caltrain is requesting the support of the Town in revisiting this policy decision for the reasons described below.

Station Closure Rationale and Benefits

Since weekday service to Atherton was suspended in 2005, weekday ridership on the Caltrain system as a whole has grown tremendously, expanding from approximately 26,000 to well over 60,000. Caltrain expects demand for its services to continue to grow in the future as communities up and down the corridor intensify their land uses and congestion on parallel highways and roads grows worse.

Serving this increased demand is challenging and the railroad struggles to balance maintaining auto-competitive travel times while also providing service to the many, closely spaced stations along the line.

As we plan for the future of our service, it is clear that the railroad will not be able to provide every station with the level of service that its surrounding community might desire. In general, adding new service (or 'stops') to trains is a zero sum game--either requiring that a stop be re-allocated from elsewhere in the system or that the entire train be slowed by several minutes, degrading the railroad's ability to compete with auto travel in terms of travel times.

The lower density, residential character of the land uses around the Atherton station suggest that the station is unlikely to generate significant future ridership, even with restored weekday service. Closure of the Atherton station would allow Caltrain to re-allocate service that would have been provided to Atherton to nearby stations where denser land uses will generate more ridership and provide a broader benefit to the public as a whole. Our analysis of ridership and land use trends suggests that if we are able to reallocate service from Atherton to adjoining stations, Caltrain could increase its daily ridership by ~300-500. Closure of the Atherton station would also obviate the need for a future costly and disruptive station upgrade to remove the holdout rule, estimated (several years ago) at \$30 million--allowing these scarce funds to potentially be put towards other system improvements that will provide broader public benefit.

Residents of the Town of Atherton will also benefit from a station closure, including improved safety along the Caltrain line through more restrictive access to the track and platform area, reduced noise impacts from fewer trains stopping, and improved traffic flow with a reduction in future gate-down time. In addition, closure of the station will provide the Town the potential to use the portion of Caltrain station property no longer needed to support current Caltrain operations for staging and construction of its Town Center project and, potentially, facilitate a new use of this property to enhance the Town Center development.

George Rodericks, City Manager
January 8, 2020
Page 3 of 4

Proposed Actions Supporting the Closure

Caltrain requests formal Town support for the station closure. Caltrain will support this action by pursuing funding and taking action to plan and construct several projects that support the closure and provide mitigating benefits to the Town. These actions (estimated at a cost of \$7-9 million) include:

- Construction of a right-of-way fence separating the current station from the Town Center property; removal of the existing center station platform and track crossings.
- Removal of station furnishings (ticket vending machines, bike lockers) and modify the station shelter to better integrate with the Town Center.
- Implementation of grade crossing safety improvements at Watkins Avenue, potentially including installation of quad gates.

Caltrain will also work cooperatively with the Town to explore the feasibility of a new path extending south of Watkins Avenue, on property adjacent to, but not within, the Caltrain right-of-way. Engagement of the City of Menlo Park and third party land owners would be needed as part of any feasibility assessment. This path could provide a more direct and convenient connection to the Menlo Park Caltrain Station. If the path were found to be feasible, Caltrain would work with the Town to identify funding opportunities.

We ask the Town to help support these actions by coordinating station modifications with the Town Center project (e.g. shelter modifications and landscape plans), supporting Caltrain funding applications and participating in the path feasibility study. We also expect the Town to enter into a lease for any portion of Caltrain property used as part of the Town Center. In return, we ask the Town to confirm that there are no plans for grade separations at Fair Oaks and Watkins Ave and those will remain at-grade crossings.

The closure of the station, along with the closure of the pedestrian crossings that access the station platform, would also eliminate the need for trains to sound horns as they approach the station. Currently, under the requirements of the California Public Utilities Commission and Caltrain's own operating rules, horns must be sounded for safety purposes as trains approach the station and its pedestrian crossings. It is understood that the Town may pursue approval of an expanded Quiet Zone as a result of the station closure and safety improvements at Watkins Avenue, which, combined with the closure of the station, would significantly expand the area in which horns are not sounded. Caltrain will cooperate with that effort.

George Rodericks, City Manager
January 8, 2020
Page 4 of 4

Next Steps

We would like formal Town concurrence with the complete and permanent station closure. Your action on the station closure will initiate a Caltrain process to identify potential impacts, undertake environmental clearance, and develop a station closure resolution. This process will take approximately 5 to 6 months. We also expect to develop a Memorandum of Understanding (MOU) with the Town that would further define and memorialize the proposed actions. The MOU can be developed in the next few months and approved at the same time as the station closure resolution.

Thank you for considering this proposal. We believe it will be of substantial benefit to both the Town and Caltrain. We look forward to working closely with the Town in the future.

Sincerely,


Jim Hartnett
Caltrain Executive Director

**ATTACHMENT 5 – PUBLIC NOTICES FOR PUBLIC HEARINGS
ON WEBSITE AND PRINTED MEDIA**

Proposed Closure of Atherton Caltrain Station

Español 汉语

The Peninsula Corridor Joint Powers Board (PCJPB) will hold a public hearing to receive public comment on the proposed closure of the Atherton Caltrain Station. The closure will permanently discontinue service for Atherton station and remove the station from future timetables. On January 15, 2020 the Town of Atherton tentatively endorsed the closure of Atherton Station subject to an Agreement on a Memorandum of Understanding (MOU) between the two parties.

Today, the Atherton Caltrain station currently receives limited weekend-only service every 90 minutes with an average of 114 passengers per weekend day. The "center boarding" configuration of the station limits operations as trains traveling in the other direction must wait or "hold out" for safety purposes while the train at the station is boarding.

Public Meeting

Caltrain will hold a virtual meeting to present the proposals and receive comments from the public.

Wednesday, July 29, 2020, 5:30 p.m.
 Zoom Info: <https://zoom.us/j/97368870471>
Webinar ID: 973 6887 0471 **Access via Telephone:** 1.669.900.9128;
Meeting ID: 9736 8870 471

[Public Meeting Presentation July 29, 2020](#) | [Recorded Meeting](#)

Public Hearing

The Peninsula Corridor Joint Powers Board of Directors will hold a virtual public hearing to discuss the proposed station closure. The Board invites public comment on the potential closure of Atherton station at the hearing. The public may participate via a Zoom web link and/or by phone.

Thursday, September 3, 2020 at 9 a.m.
 (or as soon thereafter as the matter may be heard)
Zoom Info: <https://samtrans.zoom.us/j/93207729581>
Webinar ID: 932 0772 9581 **Access via Telephone:** 1.669.900.9128;

Prior to the hearing, comments may be sent by completing the online comment form at the bottom of this page, by mail, e-mail or phone:

Board Secretary
Peninsula Corridor Joint Powers Board
 P.O. Box 3006, San Carlos, CA 94070-1306
publiccomment@caltrain.com 1.800.660.4287 (TTY 650.508.6448)

Peninsula Corridor Joint Powers Board PUBLIC HEARING & MEETINGS NOTICE

PROOF OF PUBLICATION

(2015.5 C.C.P.)

State of California)
County of SAN FRANCISCO) ss

Notice Type: HRG - NOTICE OF HEARING

Ad Description:

Proposed Closure of Atherton Caltrain Station

I am a citizen of the United States and a resident of the State of California; I am over the age of eighteen years, and not a party to or interested in the above entitled matter. I am the principal clerk of the printer and publisher of the SAN FRANCISCO CHRONICLE, a newspaper published in the English language in the city of SAN FRANCISCO, county of SAN FRANCISCO, and adjudged a newspaper of general circulation as defined by the laws of the State of California by the Superior Court of the County of SAN FRANCISCO, State of California, under date 11/13/1951, Case No. 411596. That the notice, of which the annexed is a printed copy, has been published in each regular and entire issue of said newspaper and not in any supplement thereof on the following dates, to-wit:

07/15/2020, 07/22/2020

2020.

CNS#: 3379680

**Peninsula Corridor Joint Powers Board
PUBLIC HEARING & MEETINGS
NOTICE**

**Proposed Closure of Atherton Caltrain
Station**

The Peninsula Corridor Joint Powers Board (PCJPB) will hold a public hearing to receive public comment on the proposed closure of the Atherton Caltrain Station. The closure will permanently discontinue service for Atherton station and remove the station from future timetables. On January 15, 2020 the Town of Atherton tentatively endorsed the closure of Atherton Station subject to an Agreement on a Memorandum of Understanding (MOU) between the two parties.

Today, the Atherton Caltrain station currently receives limited weekend-only service every 90 minutes with an average of 114 passengers per weekend day. The "center boarding" configuration of the station limits operations as trains traveling in the other direction must wait or "hold out" for safety purposes while the train at the station is boarding.

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Zoom Info: <https://zoom.us/j/97369870471>

Webinar ID: 973 6887 0471

Access via Telephone: 1.669.900.9128;

Meeting ID: 9736 8870 471

Public Hearing
The Peninsula Corridor Joint Powers Board of Directors will hold a virtual public hearing to discuss the proposed station closure. The Board invites public comment on the potential closure of Atherton station at the hearing. The public may participate via a Zoom web link and/or by phone.

Thursday, August 6, 2020 at 9 a.m.
(or as soon thereafter as the matter may be heard)

Zoom Info: <https://zoom.us/j/95032112562>

Webinar ID: 950 3211 2562

Access via Telephone: 1.669.900.9128;

Meeting ID: 950 3211 2562

Prior to the hearing, comments may be sent by completing the online comment form at www.caltrain.com/athertonclosure, by mail, e-mail or phone:

Board Secretary
Peninsula Corridor Joint Powers Board
P.O. Box 3006, San Carlos, CA 94070-1306

Changes@caltrain.com 1.800.660.4287
(TTY 650.508.5448)

For translation or interpretation assistance, call Caltrain at 1.800.660.4287 at least 72 hours before the meeting.
7/15, 7/22/20

CNS-3379680#

**AFFIDAVIT OF PUBLICATION
SAN MATEO DAILY JOURNAL**

**STATE OF CALIFORNIA
County of San Mateo**

The undersigned declares: That at all times hereinafter mentioned, affiant was a permanent resident of the United States, over the age of eighteen years old, and was at and during all said times. The Office Manager of the San Mateo Daily Journal, a newspaper published daily in the County of San Mateo, State of California. The notice mentioned was set in type no smaller than nonpareil and was preceded with words printed in black face type not smaller than size 6, describing and expressing in general terms, the purpose and character of the notice intended to be given; that the

CNS-3390825#

NOTICE OF PUBLIC HEARING

Of which the annexed is a printed copy was published and printed in said newspaper on the 20th Day of August 2020.

I declare under penalty of perjury that the foregoing is true and correct.

JP Uganza 

Dated at San Mateo, California,
this 20th day of Aug, 2020.



**Peninsula Corridor Joint Powers Board
PUBLIC HEARING & MEETINGS NOTICE**

Proposed Closure of Atherton Caltrain Station

The Peninsula Corridor Joint Powers Board (PCJPB) will hold a public hearing to receive public comment on the proposed closure of the Atherton Caltrain Station. The closure will permanently discontinue service for Atherton station and remove the station from future timetables. On January 16, 2020 the Town of Atherton tentatively endorsed the closure of Atherton Station subject to an Agreement on a Memorandum of Understanding (MOU) between the two parties.

Today, the Atherton Caltrain station currently receives limited weekend-only service every 90 minutes with an average of 114 passengers per weekend day. The "center boarding" configuration of the station limits operations as trains traveling in the other direction must wait or "hold out" for safety purposes while the train at the station is boarding.

Public Hearing

The Peninsula Corridor Joint Powers Board of Directors will hold a virtual public hearing to discuss the proposed station closure. The Board invites public comment on the potential closure of Atherton station at this hearing. The public may participate via a Zoom web link and/or by phone.

Thursday, September 3, 2020 at 8 a.m.
(or as soon thereafter as the auditor may be heard)

Zoom Info: <https://zoom.us/j/93207229581> Webinar ID: 932 0772 9581
Access via Telephone: 1.650.909.9128; Meeting ID: 932 0772 9581

Prior to the hearing, comments may be sent by completing the online comment form at www.caltrain.com/athertonclosure by email, e-mail or phone.

Board Secretary
Peninsula Corridor Joint Powers Board
P.O. Box 3056, San Carlos, CA 94070-1306
Changes@caltrain.com 1.800.680.4287 (TTY 650.508.6448)

For translation or interpretation assistance, call Caltrain at 1.800.680.4287 at least three days before the meeting.

Para traducción llame al 1.800.680.4287; 形同翻译 请電 1.800.680.4287.

CNS3390825

**DECLARATION OF PUBLICATION OF
SAN FRANCISCO CHRONICLE**

Diane FitzGibbon

declares that:

The annexed advertisement has been regularly put in the

SAN FRANCISCO CHRONICLE

**Peninsula Corridor Joint Powers Board
PUBLIC HEARING & MEETINGS NOTICE**

Proposed Closure of Atherton Caltrain Station

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Thursday, September 3, 2020 at 9 a.m.
(or as soon thereafter as the matter may be heard)

Zoom Info: <https://samtrans.zoom.us/j/93207729581> Webinar ID: 932 0772 9581
Access via Telephone: 1.669.900.9128; Meeting ID: 9932 0772 9581

Prior to the hearing, comments may be sent by completing the online comment form at www.caltrain.com/athertonclosure, by mail, e-mail or phone.

**Board Secretary,
Peninsula Corridor Joint Powers Board
P.O. Box 3096, San Carlos, CA 94078-1306
Changes@caltrain.com 1.800.660.4287 (TTY 650.508.6448)**

For translation or interpretation assistance, call Caltrain at 1.800.660.4287 at least three days before the meeting.
Para traducción léame al 1.800.660.4287; 如需翻譯請電 1.800.660.4287

CNSB#3380043

which is and was at all times herein mer established as newspaper of general circulation City and County of San Francisco, State of Califor that term is defined by Section 6000 of the Gover Code.

SAN FRANCISCO CHRONICLE
(Name of Newspaper)

901 Mission Street

San Francisco, CA 94103

From

To

Namely, on

(Dates of Publication)

I declare under penalty of perjury that the foregoing true and correct.

Executed on

at San Francisco, California.

Diane FitzGibbon



ATTACHMENT 6– NOTICE OF PUBLIC MEETINGS

Caltrain Online News Release

Caltrain to Hold Hearing on Closure of Atherton Station

July 9, 2020

Caltrain will hold a public meeting on the proposed closure of the Atherton Caltrain Station on Wednesday, July 29. A public hearing will follow at the Board of Director's meeting on August 6.

Prior to the coronavirus (COVID-19) pandemic, the Atherton Caltrain Station only received limited weekend-only service every 90 minutes with an average of 114 passengers per weekend day. Weekday service to the station was cut in 2005 due to low demand.

The center boarding configuration of the station limits operations as trains traveling in the other direction are required to wait while the train at the station is boarding. If the station remains, an upgrade of substantial cost would be necessary to prevent disruption of the expanded service that will come with the electrification of the corridor.

The closure of the station would also allow Caltrain to reallocate service to nearby stations, allowing for a more efficient service for riders, and would reduce the agency's maintenance costs.

In January of this year, the Town of Atherton tentatively endorsed the closure of Atherton station subject to an Agreement on a Memorandum of Understanding (MOU) between the two parties. The station's closure would result in reduced noise and increased safety for Atherton residents. Atherton is in the process of redeveloping its Civic Center, and closing the station would free up additional property for that project.

Public Meeting

Wednesday, July 29, 2020, 5:30 p.m.

Zoom Info: zoom.us/j/97368870471

Webinar ID: 973 6887 0471

Access via Telephone: 1.669.900.9128

Meeting ID: 9736 8870 471

Public Hearing

Thursday, August 6, 2020, 9 a.m.

Zoom Info: zoom.us/j/95032112562

Webinar ID: 950 3211 2562

Access via Telephone: 1.669.900.9128

Meeting ID: 950 3211 2562

Prior to the hearing, comments may be sent by completing the online comment form at www.caltrain.com/athertonclosure, by mail, e-mail or phone:

Board Secretary

Peninsula Corridor Joint Powers Board

P.O. Box 3006, San Carlos, CA 94070-1306

Changes@caltrain.com 1.800.660.4287 (TTY 650.508.6448)

For translation or interpretation assistance, call Caltrain at 1.800.660.4287 at least three days before the meeting.

###

About Caltrain: Owned and operated by the Peninsula Corridor Joint Powers Board, Caltrain provides commuter rail service from San Francisco to San Jose, with commute service to Gilroy. While the Joint Powers Board assumed operating responsibilities for the service in 1992, the railroad has provided the community with more than 150 years of continuous passenger service. Planning for the next 150 years of Peninsula rail service, Caltrain is on pace to electrify the corridor, reduce diesel emissions by 97 percent by 2040 and add more service to more stations.

Follow Caltrain on [Facebook](#) and [Twitter](#).

Free translation assistance is available.

Para traducción llama al 1.800.660.4287; 如需翻譯,請電 1.800.660.4287.

Earned Media Announcement

FEATURED

From the Daily Journal archives

Caltrain to hold hearing on closure of Atherton station

Daily Journal staff report
Jul 10, 2020



Earned Media Announcement
The Board of Directors is holding meetings on a proposal to close the Atherton station because of low ridership and the cost of configuring it to meet the needs of the new electrified line.

The first meeting will be Wednesday, July 29, and a public hearing will follow at the Board of Director's meeting Aug. 6. Before the pandemic, the Atherton Caltrain station only received limited weekend-only service every 90 minutes with an average of 114 passengers per weekend day. Weekday service to the station was cut in 2005 due to low demand. The center boarding configuration of the station limits operations as trains traveling in the other direction are required to wait while the train at the station is boarding. If the station remains, an upgrade of substantial cost would be necessary. The town of Atherton has tentatively endorsed the closure, according to Caltrain.

The public meeting will be 5:30 p.m. Wednesday, July 29; Zoom Info: zoom.us/j/97368870471; Webinar ID: 973 6887 0471; Access via Telephone: (669) 900-9128; Meeting ID: 9736 8870 471. The Aug. 6 public hearing is 9 a.m.; Zoom Info: zoom.us/j/95032112562; Webinar ID: 950 3211 2562; Access via Telephone: (669) 900-9128; Meeting ID: 950 3211 2562. Go to caltrain.com/athertonclosure to learn more or to comment.

ATTACHMENT 7 – SOCIAL MEDIA POSTS

Caltrain Twitter Alerts



Caltrain  @Caltrain · Jul 28

Don't forget to tune in tomorrow:



Caltrain  @Caltrain · Aug 6

Atherton hearing will be pushed into the next board meeting.

 1







[Show this thread](#)









 3

 7





 **Caltrain**  @Caltrain · Sep 3 
Replying to [@Caltrain](#)
Speaker 5 - Agrees with closure. Cites "hold out rule"
Speaker 6 - Atherton resident. Didn't protest closure but wants a ped/bike path to Menlo Park station be in the MOU.
Speaker 7 - Supports closure. Calls out contentious Caltrain/Atherton relationship.

 1   

 **Caltrain**  @Caltrain · Sep 3 
Speaker 8 - Wants weekday service at Atherton, advocates for North Fair Oaks commuters.
Speaker 9 - Atherton resident. Supports closure. Supports bike/ped path to nearby stations.

 1   

 **Caltrain**  @Caltrain · Aug 6 
Atherton hearing will be pushed into the next board meeting.

 1   


[Show this thread](#)

NextDoor Outreach

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SEP
03

Proposed Closure of Atherton Caltrain Station - Public Outreach

Thu, Sep 3, 9:00 AM - 12:00 PM

Going? ▾
 Share
...
 1 Going

Event details

The Peninsula Corridor Joint Powers Board (PCJPB) will hold a public hearing to receive public comment on the proposed closure of the Atherton Caltrain Station. The hearing was originally scheduled for August 6, 2020 but was postponed by the Board.

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- Events
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- Lost & Found

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JUL
29

Atherton Station Closure Public Hearing

Wed, Jul 29, 5:30 PM - 7:30 PM

Going? ▾
 Share
...
 2 Going · 3 Maybe

Event details

Caltrain will hold a public meeting on the proposed closure of the Atherton Caltrain Station on Wednesday, July 29. A public hearing will follow at the Board of Director's meeting on August 6.

Prior to the coronavirus (COVID-19) pandemic, the Atherton Caltrain Station only

**ATTACHMENT 8– VIRTUAL PUBLIC MEETING
PRESENTATION**



Proposed Closure of the Atherton Station

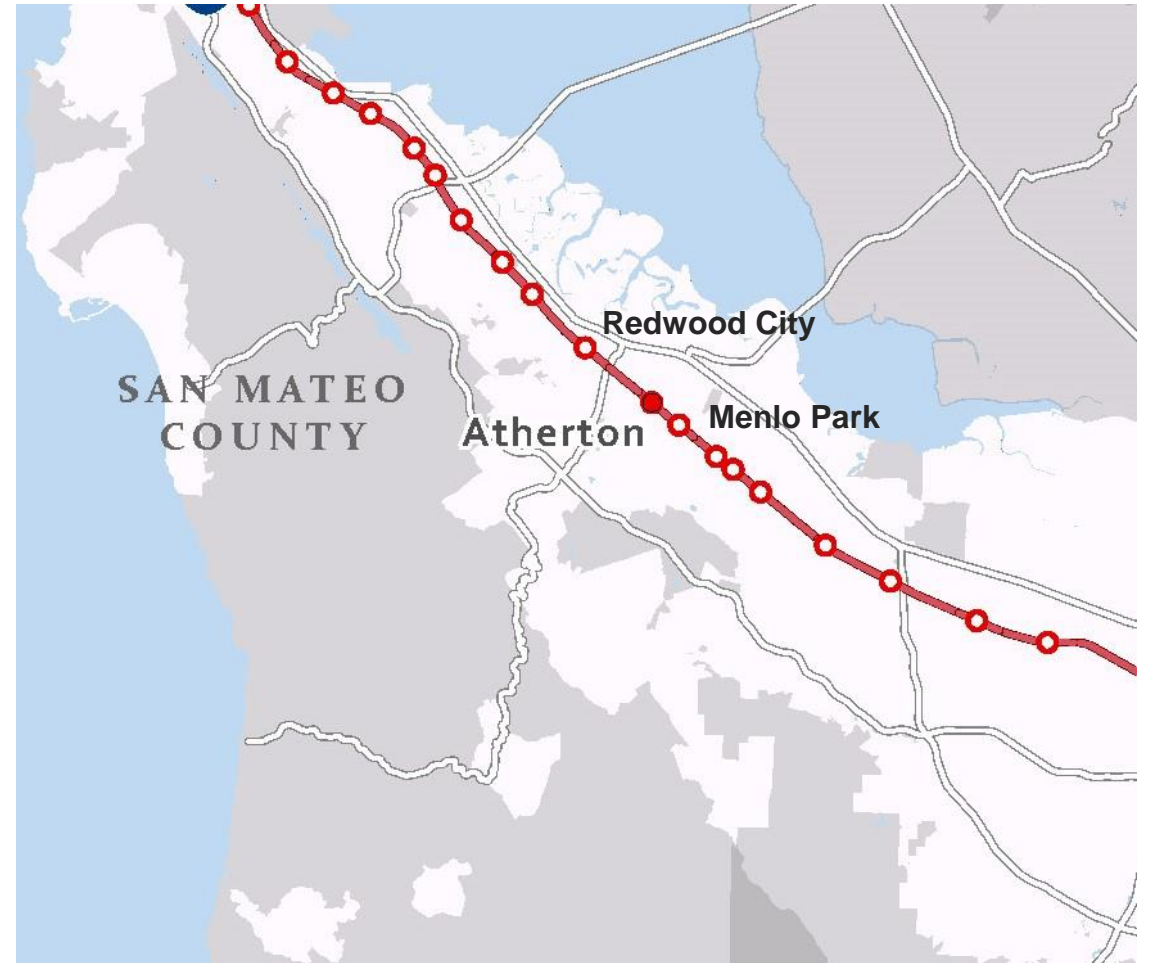
Virtual Community Meeting
July 28, 2020

Background

- Weekend only service provided since 2005
- Average of 114 passengers per weekend day (prior to COVID-19)
- Caltrain Electrification documented policy commitment to restore regular weekday service after electrification
- Atherton Station is one of few remaining “hold out” rule stations, due to older center platform configuration
- Jan. 8, 2020 letter to Town of Atherton proposing closure
- Jan. 15, 2020 Town Council tentative endorsement of closure subject to a Memorandum of Understanding (MOU)

Station Closure Benefits

- Service can be re-allocated to adjacent stations where denser land uses and improved travel times can generate more ridership (est. 300-500 daily riders)
- Financial savings due to reduced operating/maintenance costs and elimination of need for station upgrades
- Town benefits from noise reduction and improved safety
- Potential for Town to integrate station property (outside of operating ROW) into Civic Center redevelopment



Potential Elements of MOU

- Caltrain would fund and implement actions supporting the station closure, including:
 - Installation of a new right-of-way fence along current station area
 - Removal of center boarding platform and other station facilities
 - Installation of quad gates at Watkins Avenue to improve crossing safety
- Caltrain and the Town would enter into a Maintenance and Use Agreement for the Town to use and maintain station property
- Caltrain and the Town could cooperatively pursue funding to study and potentially implement additional improvements proposed by the Town

Public Outreach & Feedback

- Public Outreach
 - Press releases, newspaper ads, onboard flyers and station announcements, social media, targeted community outreach
 - Direct outreach to North Fair Oaks community leadership – July 15, 2020
 - Virtual Community Meeting – July 29, 2020
 - Public Hearing – August 6, 2020
 - Public comment available via email, mail, website, and phone
- Information made available in Spanish and Chinese

Title VI Service Equity Analysis

- Title VI Equity Analysis is required by the Federal Transit Administration (FTA) when a Caltrain Station Closure occurs as per the Caltrain Major Service Change Policy.
 - Determines whether a disparate impact (DI) or disproportionate burden (DB) exists
 - Identifies proposal purposes and potential adverse affects
- DI/DB exists when the communities of color/low income communities affected by the service change is 10% more than the average communities of color/low income communities of the Caltrain Service area
- Analyzed Census Data (2018 ACS) within a 1 mile radius of Atherton Station

Next Steps

- Hold Public Hearing at Caltrain Board Meeting on Aug. 6
- Complete Title VI analysis
- Prepare and approve CEQA addendum and NEPA re-evaluation
- Finalize draft MOU terms
- Execute Maintenance and Use agreement
- Final Approval by Caltrain Board
- Set date for station closure

Public Hearing Information

- Caltrain Board will hold a Public Hearing to receive additional public comments:
 - Thursday, August 6, 2020, 9 a.m.
 - Zoom Info: zoom.us/j/95032112562
 - Access via Telephone: 1.669.900.9128 Meeting ID: 950 3211 2562
- Comment period will be closed after Public Hearing is complete

Additional Options for Public Comment

- Prior to the public hearing on August 6, comments may be sent via the following options:
- Online Form
 - www.caltrain.com/AthertonClosure
- Mail
 - Board Secretary
 - Peninsula Corridor Joint Powers Board
 - P.O. Box 3006, San Carlos, CA 94070-1306
- Email
 - Changes@caltrain.com
- Phone
 - 1.800.660.4287 (TTY 650.508.6448)

Questions

ATTACHMENT 9 – STATION POSTINGS OF PUBLIC HEARINGS AND PUBLIC MEETINGS

ATHERTON STATION



REDWOOD CITY STATION

**ATTACHMENT 10 – TRANSLATIONS: WEBSITES + PRINTED
MEDIA ANNOUNCEMENTS**

SING TAO (CHINESE TRANSLATION)

DECLARATION

I am a resident of Los Angeles County, over the age of eighteen years and not a party to or interested in the matter noticed.

The notice, of which the annexed is a printed copy appeared in the:

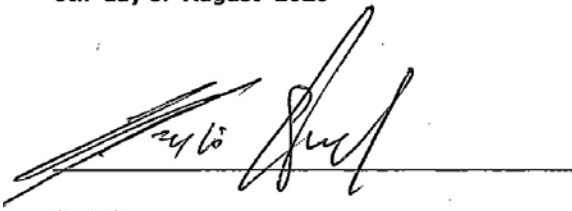
SING TAO (S.F.)

On the following dates:

07/15/2020, 07/22/2020

I certify (or declare) under penalty of perjury that the foregoing is true and correct.

Dated at Los Angeles, California, this
6th day of August 2020



Curtis Small
Signature

甲高士摩聯合電力委員會
公佈區議會社會議題知
照請Atherton Caltrain 車站閉站

甲高士摩聯合電力委員會 (Peninsula Corridor Joint Powers Board, 簡稱 PCJPB) 將召開公聽會, 聽取公眾對 Atherton Caltrain 車站閉站的意見。此次閉站將永久終止 Atherton 車站服務, 在往來車站的列車中將不得進站。2020 年 1 月 15 日, 根據雙方簽訂的和解協議, Atherton 候車時支持閉站 Atherton 車站。

目前, Atherton Caltrain 站提供 90 分鐘提供有限的水車服務, 到來自天平均有 14 名乘客。車站中心線上車。該服務將不再繼續, 因為由於安全目的, 當乘客在站內乘車時, 為安全起見, 拍成行駛的火車必須等待候車“開出”之後。

公聽會
Caltrain 將召開公聽會, 介紹投票管理委員會 -
2020 年 7 月 29 日星期三, 下午 5:30
Zoom 會議號碼: <https://zoom.us/j/97368870471> 房間號: 973 6887 0471

電話撥入: 1.800.533.9128; 會議 ID: 9736 8870 471

公聽會理由
甲高士摩聯合電力委員會將召開公聽會, 以聽取公眾對該項。該項會合區議會上投票使用 Atherton 站 - 舊金山公眾意見。公眾可以與 Atherton 車站閉站 (或更新車站)。

2020 年 8 月 6 日星期三, 上午 9:00
(或提供不久後此舉舉取意見)

Zoom 會議號碼: <https://zoom.us/j/97368870471> 房間號: 973 6887 0471
電話撥入: 1.800.533.9128; 會議 ID: 973 6887 0471
該項會之票, 公眾意見, 請到 <https://www.pcjpb.com/atherton-station-closure>
在投票與意見及性, 請以信件或電子郵件, 或舉行電話。信息如下:

Board Secretary
Peninsula Corridor Joint Powers Board
P.O. Box 3000, San Geronimo, CA 94070-7300
Change@pcjpb.com 1.800.891.4287 (中文專線: 890.908.8416)
投票時間: 上午 9:00 至下午 5:00 (或提供不久後此舉舉取意見)
投票時間: 上午 9:00 至下午 5:00 (或提供不久後此舉舉取意見)
Phone: 1.800.891.4287
Web: www.pcjpb.com
973-339-8216
SING TAO (S.F.)

SING TAO (CHINESE TRANSLATION)

半岛走廊联合电力委员会
公开听证会和会议通知

关闭Atherton Caltrain车站提议

半岛走廊联合电力委员会 (Peninsula Corridor Joint Powers Board, 简称PCJPB) 将召开公开听证会, 听取公众对关闭Atherton Caltrain车站提议的意见。此次关闭将永久终止Atherton车站服务, 并从未来的时刻表中移除该站。2020年1月15日, 根据双方签订的谅解备忘录, Atherton镇暂时支持关闭Atherton车站。

目前, Atherton Caltrain站仅每90分钟提供有限的周末服务, 周末每天平均有114名乘客。车站“中心点上车”的配置限制了车辆运行, 因为出于安全目的, 当乘客在站台乘车时, 为安全起见, 相向行驶的火车必须等待或“留出”空间。

公开听证会

半岛电力联合委员会将召开线上公众听证会, 讨论关闭车站的提议。委员会在听证会上就可能关闭Atherton站一事征询公众意见。公众可以通过Zoom网络链接和/或通过电话参与。

2020年9月3日周四, 上午9:00

(或随后不久就此事听取意见)

Zoom会议链接: <https://samtrans.zoom.us/j/93207729581> 房间号: 932 0772 9581

电话接入: 1.669.900.9128; 会议ID: 932 0772 9581

听证会之前, 欲发表意见, 可访问<http://www.caltrain.com/athertonclosure>在线填写意见表格、发送信件或电子邮件、或拨打电话, 信息如下:

Board Secretary

Peninsula Corridor Joint Powers Board

P.O. Box 3006, San Carlos, CA 94070-1306

Changes@caltrain.com 1:800.660.4287 (文本电话: 650.508.6448)

如需笔译或口译帮助, 请在会议开始至少三天前致电1.800.660.4287与Caltrain联系。

Para traducción llama al 1.800.660.4287; 如需翻译, 请拨 1.800.660.4287.

1. The Caltrain Board of Directors is considering a proposal to close and discontinue service for Atherton Station. We are soliciting feedback from members of the public on the proposed service changes.

• 加州铁路局正在考虑应否关闭Atherton车站 (Atherton Station)。我们需要征求公众人士的意见。

2. The Deadline to submit your comments is August 6th, 2020

• 阁下提交本意见书的截止日期是: 2020年8月6日。

3. Please mark (select?) 'yes' or 'no' and provide additional comments about your position on the proposed station closure.

• 请选择“是 Yes”或“否 No”作为您的答案。又, 请在第8条问题下写下您的建议。

4. Name

您的名字

5. City of Residence

您的住址

6. Do you currently board or alight at Atherton Station? Yes or No.

• 您有使用Atherton车站上车下车吗? 是或否?

7. Do you support the full closure of the Atherton Station? Yes or No.

• 您支持将Atherton车站完全关闭吗? 是或否?

8. Comment

• 请写下其他建议

9. "Thank you. Your comment has been successfully received by our server."

• 谢谢。我们的电脑系统已经成功接收到您提供的意见。

10. "Your form has not been submitted. We either had trouble understanding the following fields or we need additional information."

• 对不起; 我们的系统未能接受您提交的意见书。可能是因为电脑未能理解您为下列问题栏目所提供的回答。

CNSB#3390826

EL OBSERVADOR (SPANISH TRANSLATION)

I am a resident of Los Angeles County, over the age of eighteen years and not a party to or interested in the matter noticed.

The notice, of which the annexed is a printed copy appeared in the:

EL OBSERVADOR

On the following dates:

07/17/2020, 07/24/2020

I certify (or declare) under penalty of perjury that the foregoing is true and correct.

Dated at Los Angeles, California, this

31st day of July 2020



RENE ANDAL

Signature

3379686

"The only Public Notice which is justifiable from the standpoint of true economy and the public interest, is that which reaches those who are affected by it"



Peninsula Corridor Joint Powers Board
AVISO DE AUDIENCIA PÚBLICA Y REUNIÓN
Propuesta de cierre de la estación Atherton de Caltrain

Peninsula Corridor Joint Powers Board (PCJPB, por sus siglas en inglés) llevará a cabo una audiencia pública con el fin de recibir comentarios sobre la propuesta del cierre de la estación Atherton de Caltrain. El cierre propone discontinuar el servicio de la estación Atherton y retirarla de futuros cronogramas. El 15 de enero del 2020, el Pueblo de Atherton apoyó tentativamente el cierre de la estación, de conformidad con un Acuerdo en un Memorando de Entendimiento entre ambas partes.

En la actualidad, la estación solo recibe servicio los fines de semana y cada 90 minutos, con un promedio de 114 pasajeros por día. La configuración de abordaje central de la estación limita las operaciones, ya que los trenes que vienen desde la dirección opuesta deben esperar por seguridad hasta que los pasajeros aborden el tren en la estación.

Sesión pública

Caltrain llevará a cabo una sesión virtual para presentar las propuestas y recibir comentarios del público.

Miércoles, 29 de julio del 2020, 5:30 p.m.
Enlace Zoom: <https://zoom.us/j/97368870471>
Identificador de webinar: 973 6887 0471
Acceso telefónico: 1.669.900.9128; Identificador de reunión: 9736 8870 471

Audiencia pública

Los Directores de PCJPB llevarán a cabo una audiencia pública virtual para discutir el propuesto cierre de la estación. El Consejo invita al público a participar en esta audiencia, para tratar el posible cierre de la estación de Atherton. El público puede participar mediante el enlace Zoom de internet y/o por teléfono.

Jueves, 6 de agosto del 2020, 9 a.m.
(o poco después, tan pronto como esté el público listo)

Zoom info: <https://zoom.us/j/95032112562>
Webinar ID: 950 3211 2562
Acceso telefónico: 1669.900.9128;
ID Reunión: 950 3211 2562

El público puede enviar comentarios antes de la audiencia, mediante el formulario en línea de www.caltrain.com/athertonclosure, o por correo regular, electrónico o por teléfono:

Board Secretary (Secretaría)
Peninsula Corridor Joint Powers Board
P.O. Box 3006, San Carlos, CA 94070-1306
Changes@caltrain.com 1.800.660.4287 (TTY 650.508.6448)

Para solicitar servicios de traducción o interpretación, sírvase llamar a Caltrain al teléfono 1800.660.4287 con tres días de anticipación como mínimo | 如需翻譯,請電 1800.660.4287.

7/17, 7/24/20
CNS-3379686#
EL OBSERVADOR

DECLARATION

I am a resident of Los Angeles County, over the age of eighteen years and not a party to or interested in the matter noticed.

The notice, of which the annexed is a printed copy appeared in the:

EL OBSERVADOR

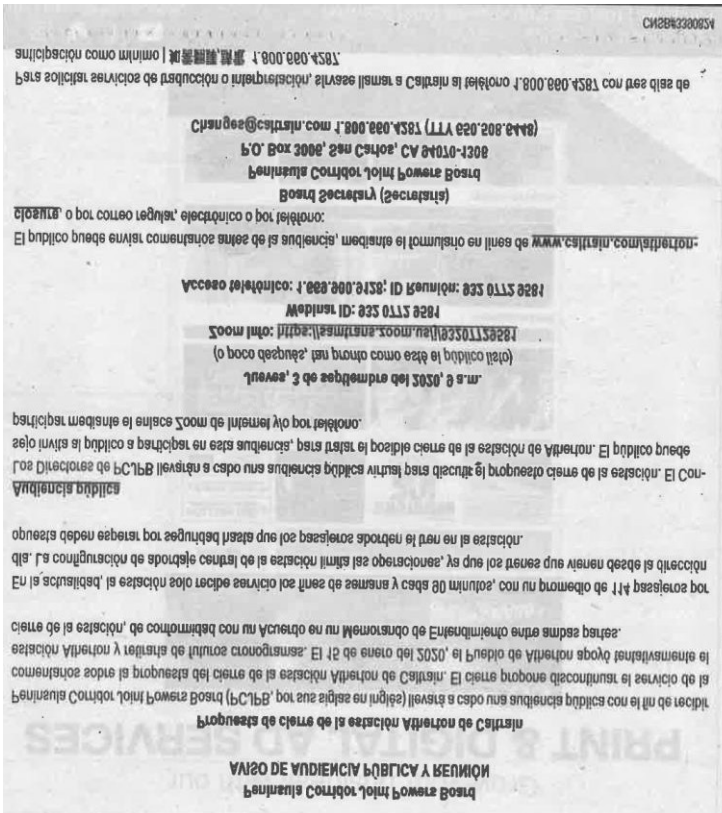
On the following dates:
08/21/2020

I certify (or declare) under penalty of perjury that the foregoing is true and correct.

Dated at Los Angeles, California, this
24th day of August 2020



IRENE ANDAL
Signature





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> [caltrain.com](#) > [Stations](#) > [Atherton Station](#) > Propuesta de cierre de la estación Atherton de Caltrain

Propuesta de cierre de la estación Atherton de Caltrain

[English](#) [汉语](#)

Peninsula Corridor Joint Powers Board (PCJPB, por sus siglas en inglés) llevará a cabo una audiencia pública con el fin de recibir comentarios sobre la propuesta del cierre de la estación Atherton de Caltrain. El cierre propone discontinuar el servicio de la estación Atherton y retirarla de futuros cronogramas. El 15 de enero del 2020, el Pueblo de Atherton apoyó tentativamente el cierre de la estación, de conformidad con un Acuerdo en un Memorando de Entendimiento entre ambas partes.

En la actualidad, la estación solo recibe servicio los fines de semana y cada 90 minutos, con un promedio de 114 pasajeros por día. La configuración de abordaje central de la estación limita las operaciones, ya que los trenes que vienen desde la dirección opuesta deben esperar por seguridad hasta que los pasajeros aborden el tren en la estación.

Sesión pública

Caltrain llevará a cabo una sesión virtual para presentar las propuestas y recibir comentarios del público.



Miércoles, 29 de julio del 2020, 5:30 p.m.
 Enlace Zoom: <https://zoom.us/j/97368870471>
Identificador de webinar: 973 6887 0471 Acceso telefónico:
 1.669.900.9128; **Identificador de reunión: 9736 8870 471**

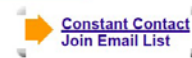
Audiencia pública

Los Directores de PCJPB llevarán a cabo una audiencia pública virtual para discutir el propuesto cierre de la estación. El Consejo invita al público a participar en esta audiencia, para tratar el posible cierre de la estación de Atherton. El público puede participar mediante el enlace Zoom de Internet y/o por teléfono.

- [Real-time Station List](#)
- [Weekday Timetable](#)
- [Weekend Timetable](#)
- [Special Events](#)
- [VIDEO: Board Meetings](#)
- [Electrification](#)

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[@Caltrain](#)

Caltrain Twitter is human-operated M-F, 7am to 7pm, excluding holidays.

Tweets by [@Caltrain](#)

Caltrain Retweeted



The [@sfbos](#) unanimously passed a resolution on Friday allowing the [@Caltrain](#) Joint Powers Board to put a 1/8 cent sales tax measure on the November ballot to fund Caltrain operations and capital improvements. [@AaronPeski](#) [@shamannwalton](#) [@MattHaneySFsfcta.org/blog/s/caltrain...](#)

Caltrain Tax Heads to...
 Today the San Francis...
[sfcta.org](#)

TRANSLATED WEBSITE (SPANISH)

Propuesta de cierre de la estación Atherton de Caltrain

Jueves, 6 de agosto del 2020, 9 a.m.

(o poco después, tan pronto como esté el público listo)

Zoom Info: <https://zoom.us/j/95032112562>

Webinar ID: 950 3211 2562 **Acceso telefónico:** 1.669.900.9128; ID
Reunión: 950 3211 2562

El público puede enviar comentarios antes de la audiencia, mediante el formulario en línea de www.caltrain.com/athertonclosure, o por correo regular, electrónico o por teléfono:

Board Secretary (Secretaría)

Peninsula Corridor Joint Powers Board

P.O. Box 3006, San Carlos, CA 94070-1306

Changes@caltrain.com 1.800.660.4287 (TTY 650.508.6448)

Para solicitar servicios de traducción o interpretación, sírvase llamar a Caltrain al teléfono 1.800.660.4287 con tres días de anticipación como mínimo

La Junta de Consejo de Caltrain está considerando una propuesta para cerrar y discontinuar el servicio para la estación de Atherton. Estamos solicitando opiniones de los miembros del público sobre los propuestos cambios de servicio.

El último día para enviar sus comentarios es el 6 de agosto de 2020.

Marque sí o no, y dejemos saber sus comentarios adicionales y su posición sobre la propuesta de cerrar la estación.

Page 1 of 1

Submit

Nombre

Ciudad de residencia

Actualmente aborda o baja en la estación de Atherton?

Sí No

Apoya el cierre total de la estación de Atherton?

Sí No

Comentario

Submit

TRANSLATED WEBSITE (CHINESE)



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> [caltrain.com](#) > [Stations](#) > [Atherton Station](#) > 关闭Atherton Caltrain车站提议

关闭Atherton Caltrain车站提议

[English](#) [Español](#)

半岛走廊联合电力委员会 (Peninsula Corridor Joint Powers Board, 简称 PCJPB) 将召开公开听证会, 听取公众对关闭Atherton Caltrain车站提议的意见。此次关闭将永久终止Atherton车站服务, 并从未来的时刻表中移除该站。2020年1月15日, 根据双方签订的谅解备忘录, Atherton镇暂时支持关闭Atherton车站。

目前, Atherton Caltrain站仅每90分钟提供有限的周末服务, 周末每天平均有114名乘客。车站“中心点上车”的配置限制了车辆运行, 因为出于安全目的, 当乘客在站台乘车时, 为安全起见, 相向行驶的火车必须等待或“留出”空间。

公开会议

Caltrain将召开线上会议, 介绍提案并听取公众意见。



2020年7月29日周三, 下午5:30

Zoom会议链接: <https://zoom.us/j/97368870471>

房间号: 973 6887 0471 电话接入: : 1.669.900.9128; 会议 ID: 9736 8870 471

公开听证会

半岛电力联合委员会将召开线上公众听证会, 讨论关闭车站的提议。委员会在听证会上就可能关闭Atherton站一事征询公众意见。公众可以通过Zoom网络链接和/或通过电话参与。

2020年8月6日周四, 上午9:00

(或随后不久就此事听取意见)

Zoom会议链接: <https://zoom.us/j/95032112562>

房间号: 950 3211 2562 电话接入: 1.669.900.9128; 会议 ID: 950 3211 2562

听证会之前, 欲发表意见, 可访问 www.caltrain.com/athertonclosure, 在线填写意见表格、发送信件或电子邮件、或拨打电话, 信息如下:

Board Secretary

Peninsula Corridor Joint Powers Board

P.O. Box 3006, San Carlos, CA 94070-1306

Changes@caltrain.com 1.800.660.4287 (文本电话 650.508.6448)

如需笔译或口译帮助, 请在会议开始至少三天前致电1.800.660.4287与Caltrain联系。

Para traducción llama al 1.800.660.4287; 如需翻译, 请拨 1.800.660.4287.

加州铁路局正在考虑是否关闭Atherton 车站 (Atherton Station)。我们需要征求公众

关闭Atherton Caltrain车站提议

**TRANSLATED
WEBSITE
(CHINESE)**

人士的意见。

阁下提交本意见书的截止日期是：2020年8月6日。

请选择‘是 Yes’或‘否 No’作为您的答案。又，请在第8条问题下写下您的建议。

Page 1 of 1

Submit

您的名字

您的住址

您有使用Atherton 车站上车下车吗?

是 否

您支持将Atherton 车站 完全关闭吗?

是 否

请写下其他建议

Submit

ATTACHMENT 11 – WEBSITE AND EMAIL COMMENTS

#	Date	City of Residence	Do you currently board or alight at Atherton Station?	Do you support the full closure of the Atherton Station?
1	7/7/2020 2:29:34 PM	San Mateo	Yes	No
4	7/13/2020 9:20:27 AM			
5	7/13/2020 9:23:05 AM	San Mateo	Yes	Yes
6	7/13/2020 9:44:18 AM			
7	7/13/2020 10:51:10 AM	San Mateo	Yes	Yes
8	7/13/2020 11:56:29 AM	Atherton	Yes	Yes
9	7/13/2020 3:04:03 PM	Atherton	No	No
10	7/15/2020 1:01:46 PM		No	Yes
11	7/20/2020 11:46:31 PM	Menlo Park	No	No
15	7/23/2020 10:11:35 AM	Atherton	No	Yes
16	7/23/2020 10:47:49 AM	Atherton	No	Yes
17	7/23/2020 10:48:38 AM	Atherton	No	Yes
18	7/23/2020 12:20:11 PM	Atherton	Yes	Yes
19	7/26/2020 5:22:22 PM	Atherton	Yes	Yes
20	7/27/2020 3:41:58 PM	Atherton	Yes	No
21	7/28/2020 8:20:33 AM	atherton, ca	Yes	Yes
22	7/28/2020 10:25:10 AM	atherton	No	Yes
23	7/28/2020 12:20:22 PM	Atherton	No	Yes
24	7/28/2020 2:03:31 PM	Atherton	No	Yes

25	7/28/2020 7:04:38 PM	Atherton	No	Yes
26	7/29/2020 3:29:39 PM	Atherton	No	Yes
27	7/29/2020 5:51:04 PM	Redwood City	No	Yes
28	8/5/2020 1:52:37 AM		No	No
29	8/5/2020 5:39:14 PM	Atherton	No	Yes
30	8/5/2020 6:39:26 PM			
31	8/5/2020 6:59:09 PM	Atherton	Yes	Yes
32	8/5/2020 11:07:54 PM	Atherton	No	Yes
33	8/17/2020 11:30:53 AM	Atherton	Yes	No
34	8/21/2020 9:33:03 PM	Atherton	Yes	Yes
35	8/24/2020 8:04:36 AM	Atherton	No	Yes
36	8/24/2020 12:25:57 PM	Atherton	Yes	No
37	8/24/2020 1:22:56 PM	Atherton	Yes	No
38	8/26/2020 2:23:33 PM	Atherton	Yes	No
39	8/29/2020 9:36:54 PM	Atherton	Yes	Yes
40	9/1/2020 1:43:09 PM	Sunnyvale	Yes	No
41	9/2/2020 11:40:49 AM	North Fair Oaks/Redwood City	No	No
42	9/2/2020 12:26:59 PM	Menlo Park	Yes	No
43	9/2/2020 1:38:45 PM	Menlo Park (unincorporated)/ North Fair Oaks	No	No
44	9/2/2020 2:24:52 PM	Menlo Park	No	No
45	9/2/2020 6:02:03 PM	Menlo Park	Yes	No
46	9/2/2020 7:12:27 PM	unincorporated Menlo Park	Yes	No
47	9/2/2020 7:32:03 PM	Menlo Park	Yes	No
48	9/2/2020 8:06:56 PM	Redwood City	No	Yes
49	9/2/2020 8:39:39 PM	Atherton	Yes	No

50	9/2/2020 9:19:05 PM	Atherton	No	Yes
51	9/2/2020 9:19:39 PM		Yes	No
52	9/2/2020 9:29:10 PM	Atherton	Yes	No
53	9/2/2020 9:40:10 PM	Menlo Park	Yes	No
54	9/3/2020 4:00:53 AM	Atherton	No	No
55	9/3/2020 8:32:06 AM		Yes	No
56	9/3/2020 9:40:50 AM	Redwood City	Yes	No
57	9/3/2020 10:44:39 AM	Atherton	No	Yes
58	9/3/2020 1:58:10 PM		Yes	No
59	9/3/2020 4:39:35 PM	Menlo Park (county)	Yes	No
60	9/5/2020 3:46:03 AM	Atherton	No	No

From: Eileen Lepera
To: changes@caltrain.com
Subject: Atherton. Train station
Date: Wednesday, September 2, 2020 2:37:16 PM

Please do not close this train station. Many people from Menlo Park and Redwood City would prefer to use it as the other two towns are very very crowded

We need to have this kept open

Sent from my iPhone

From: Margaret Winters
To: changes@caltrain.com
Subject: comments about the Atherton closure -- please read!!!!
Date: Thursday, September 3, 2020 9:15:04 AM

[Caltrain to close our station! please comment today.](#) Is Atherton your closest train station? For much of NFO it is. Don't let Caltrain's board ignore us. Permanently closing the station during a pandemic, when ridership is down, is short-sighted in the extreme. We live in an area that begs for MORE public transportation options, not fewer. This move will cost us all dearly in the ways it will affect our community and options for the future. Please see below and register objection to compromising NFO transportation and quality of life. CalTrain is closing the Atherton Train Station permanently and it's having a Public Hearing tomorrow morning, but comments opposing or supporting this action need to be sent before this hearing. So if you have time, and if you think that the Atherton Train Station is or it would be more convenient for your transportation needs, please send a comment saying so or opposing this closure before tomorrow's Public Hearing (see the details to send public comment below via email, phone or regular mail). The City of Atherton has agreed to this permanent closure because their use for this is non-existent, and also because they want to expand their City Hall/Community Center right next to the train station, but as we know this closure will affect people from Menlo Park, Redwood City and North Fair Oaks who would very much like to have a closer and more accessible train station rather than going to the Menlo Park or the Redwood City stations -which by the way, will get more crowded than they already are with this closure. The Atherton Station has had low ridership because CalTrain reduced its service to weekend-service-only, essentially giving this station a slow death, and also because pedestrian access to that train station has always been terrible (there's no public lighting, no sidewalks, no services, etc.).

Remember that once this station is closed, it will be gone permanently. I personally think it is a disservice to the surrounding communities, which could benefit with better access to that train station and with increased train services on weekdays. Public Hearing: The Peninsula Corridor Joint Powers Board of Directors will hold a virtual public hearing to discuss the permanent station closure. The Board invites public comment on the potential closure of Atherton station at the hearing. The public may participate via a Zoom web link and/or by phone. Thursday, September 3, 2020 at 9 a.m. (or as soon thereafter as the matter may be heard) Zoom Info:

<https://samtrans.zoom.us/j/93207729581> Webinar ID: 932 0772 9581 Access via Telephone: 1.669.900.9128; Meeting ID: 932 0772 9581 Prior to the hearing, comments may be sent by completing the online comment form at www.caltrain.com/athertonclosure, by email at Changes@caltrain.com, by phone calling at 1.800.660.4287 (TTY 650.508.6448), or by mail writing to: Board Secretary Peninsula Corridor Joint Powers Board P.O. Box 3006, San Carlos, CA 94070-1306



[Join our Cloud HD Video Meeting](#)

samtrans.zoom.us



Posted in

[General](#) to 27

neighborhoods 25

Comments

[Melissa Prado](#)

-

North Fair Oaks-Menlo

How many times a year do you use it? I stopped using the Atherton train station over a decade ago when they changed the Zone. I only travel Northbound, so to save a couple bucks I go to Redwood City train station.

19 hr ago



[Laura Caplan](#)

-

North Fair Oaks-Menlo

Well of course right now most of us are not using it. But still SO shortsighted to permanently close it! And yes, since they cut back the weekday service, that was a blow that naturally cut back ridership. Now they use that as an excuse. This is the only train station I can walk to. I don't use it frequently but many more people would in the future if they promoted it instead of making it difficult. It seems they discouraged use as they didn't want "outsiders" in Atherton. I used to commute to SF and see the old guys from Atherton board in their suits and hats. Yes, hats. Times change, and a different generation could benefit from the existing station. They need to evolve their thinking, not cut off the options for future generations.

19 hr ago



[Emily Cornwell](#)

-

North Fair Oaks-Menlo

"Town staff noted it would cost about \$30 million to upgrade the station to bring back full weekday service."

<https://www.almanacnews.com/news/2020/01/17/atherton-signs-off-on-caltrain-proposal-to-permanently-close-its-train-station>

19 hr ago



[Paul Zehms](#)

-

Friendly Acres

The town of Atherton worried about the cost of a vital rail connection point? Give me a break. Or is it just a way to keep those "pesky" common folk out of the neighborhood?

10 hr ago



[Maggie Paulsen](#)

-

North Fair Oaks-Menlo

Thank you for sharing. I just completed the online feedback form. 19 hr ago



[Nerissa Dexter](#)

-

Lloyden Park

Dear Laura & Neighbors, The idea is to create a significantly better train service for all users by:

increasing the number of quicker, Express Trains & providing much more frequent Train Service Availability (stopping every 15 minutes, is the goal) as Electrification becomes operational. But increasing trains' service-frequency would be undermined by trying to re-open Atherton, because station stops must be taken away from the Menlo Park & Redwood City Stations, in order to create the stops necessary to re-introduce week-day service to Atherton Station (after 15 years). Since the \$30 Mil of taxpayer money -- necessary to make Atherton Station compatible with Electrification -- is NOT budgeted, the Station will have to be closed anyway or it will become a bottleneck for the Electrified system. • This is because antiquated Atherton Station requires that all Southbound trains must stop moving -- well before approaching the platform area -- every time a Northbound train is stopping at this "Hold-Out-Rule" station -- or passengers could be hit by an on-coming train when boarding or dis-embarking. • Atherton Station is a serious public safety hazard: anyone, at any time, can wander onto the middle of the tracks from the grade-level pathways, over the southbound track, pathways which were paved to provide boarding access to trains stopped on the northbound track for this antiquated Station. Caltrain wants to invest taxpayer money in creating a better rail service for the all communities, a better service in which people could realistically be able to choose the train over the car far more often than now. It would be significantly more beneficial to invest \$30 Million+, and the savings from operating expenses, to improve nearby, viable, commuter stations, like Menlo Park & Redwood City, which could have the critical mass of service-frequency and express-train-availability, which Atherton can never have, given its limitation of only 33 Caltrain parking spaces.

16 hr ago



[Catherine Kircos](#)

•

North Fair Oaks - West

I am a Caltrain commuter living close to Atherton station but forced to go all the way to RWC to commute. I never drive to Caltrain and I don't think most users do. Before covid I would bike 2 miles to RWC despite living 400ft from the tracks.

13 hr ago



[Cat Westover](#)

•

Lindenwo

od

We live walking distance to the Atherton train station and (over the past 20 years) use it from time to time- mostly going to Sharks and Giants games (so weekends)- usually there are only 2 or 3 of us getting on or off the train. The city council did their due diligence when they stopped the weekday service and they've done their due diligence this time. They has has been talking about it and sending emails about it for years. Much as I like the weekend service, the very few of us that use it wastes the time of the thousands that don't. The low usage occured years before Covid. It is nothing new. I won't even get into the grade separation and upgrade costs the town can't afford. And Atherton hasn't and doesn't "discourage outsiders." The Town has always been welcoming to everyone at the library events, park events and the train station.

15 hr ago



[Catherine Kircos](#)

-

North Fair Oaks - West

I hear you but since they cut off weekday service in 2005 I feel like it's worth another shot given how much the area has changed since then. I live in North Fair Oaks and Atherton station is the closest one to me, yet I would ride my bike 2 miles each way to RWC Caltrain every day to commute to work (before covid). I think there are many commuters in NFO who would use the station but don't have the chance.

14 hr ago



[Catherine Kircos](#)

•

North Fair Oaks - West

I live in North Fair Oaks a few houses from the Caltrain tracks. Despite living literally 400 ft from the tracks, I am 2 miles from both Menlo Park and RWC Caltrain stations. Before covid, I would ride my bike to RWC station every day to get to work. It's a shame that Atherton station is not in use for commuting and they are ignoring commuters in NFO.

14 hr ago



[David Koffman](#)

•

North Fair Oaks-Menlo

Caltrain is struggling to stay afloat. Spending money on poorly used service to Atherton will not. 14 hr ago



[Joan Cronin](#)

•

MPVilla

s

I agree that the Atherton Station should be closed. 13 hr ago



[Donna Ewart](#)

•

North Fair Oaks-Menlo

When they changed the zone North and went to weekend only service, they killed it for most of us who would use it :(

13 hr ago



[Jim Smith](#)

-

Pacific to 5th

I'm all for closing Atherton station. One of my best memories of this station was one time when Caltrain was approaching and stopped the conductor changed his voice to reflect that of a butler or servant of a rich person. All of us normal folk busted out laughing.

12 hr ago



[Susan Walker](#)

-

Friendly Acres

Atherton is closer & easier for me than RWC but I don't commute. I use Caltrain for Giants and Warriors games, and if I can't get back home after a game it's pretty useless for me.

12 hr ago



[Margaret Winters](#)

-

West Atherton

When we travel in Europe, we often take the train for both short and long distances. Train travel is an excellent way to get commuters off the crowded freeways, as well as being a relaxing and pleasant way to get where you're going. My grandfather worked for SP for 50 years, and I commuted to the City for 13 years on Caltrain and found it to be the easiest and most dependable way to travel back and forth. I'm very surprised that with all of our very recent experience during the SIP, with much less road traffic, that we wouldn't want to embrace more public transportation. I really hope that more people will contact our Town and encourage them to restore daily service to Atherton, and encourage ridership to help us to move forward, not backward.

Edited 12 hr ago



[Dave Pearce](#)

-

Friendly Acres

They want people to stop driving and use mass transit and then keep cutting the public mass transit stations? Sounds like government thinking to me.

12 hr ago



[Giacomo Marini](#)

-

West Atherton

Respectfully, and I acknowledge that there might a question of semantics around "mass transit", but denoting Atherton as a mass transit station might be a bit of an overstatement. I am all for increased and improved public transportation and train service, but I believe the decision to close Atherton Station is a thoughtful and rational one, in the context of making the regional system more cost effective and efficient. Edited

11 hr ago



[Claudia Olalla](#)

-

North Fair Oaks-Menlo Thanks for the heads up 11 hr ago



[Angel Vina](#)



Nextdoor is the neighborhood hub for trusted connections and the exchange...

Nextdoor is the neighborhood hub for trusted connections and the exchange of helpful information, goods, and ser...

- Lindenwood

Independently of everyone's personal need or convenience for our Atherton station, a good public transit system, and specially a good train network connecting our community to the rest of the Bay Area, is an asset we should not lose. This lost will damage our score as a top quality place to live and will jeopardize our future development as a modern community. If the station didn't work economically in the past, Caltrain should work with the TofA and the Atherton community in finding a way that makes it viable and valuable.

5 hr ago

**ATTACHMENT 12: SUMMARY OF COMMENTS
FROM VIRTUAL PUBLIC MEETING COMMENT**

Verbal Comments

Malcom Dudley

- Promise made by Caltrain for restoration of Atherton service will be broken. Measure A, transportation. Atherton was part of the budget, got dropped.

Michael McPherson

- In favor of MOU and town of Atherton. In everyone's best interest. Whatever Caltrain can do to increase ridership will be in everyone's best interest. Resident of Atherton.

Tristan Lopus

- Resident of Atherton. Sounds like a good idea for several reasons. I didn't know how long Atherton station has been there, it is really cool. Anything that can be done to honor the history of the station would be cool.

Nerissa Dexter – Atherton Rail Council

- Please close the station to save taxpayer 30M+ which is the amount of money that Caltrain is necessary. Severe limitation of parking spaces. Encourage you to close the station.

Matt

- Echo comments of others, support closing the station. Win Win.

John Maulbetsch

- Somewhat of a consensus is that people look at the station is a win-win. Benefit of the station closure accrues more to Caltrain than to Atherton. It has been clear for years that Caltrain has wanted to close. Actions taken by Caltrain lead to reduction in ridership, which lead to more justification for closure. Closure seems likely. Historic lost to the town. Would like to insist that Caltrain provide all the clear benefits to the town. Quad gate. Would like to see them come rapidly. Bike path to come rapidly. Hope that cost would be born by Caltrain. Hope the engineers honor quiet zone like they don't now.

Written Comments/Questions

Roland 06:08 PM

Just as an FYI you are conflicting with MTC's Plan Bay Area presentation in San Francisco

Anonymous Attendee 06:10 PM

Thank you, Ryan and team. Very good presentation. Roland

06:13 PM

There are hundreds of stations which have been converted to private residences or public space all over Europe.

Anonymous Attendee 05:38 PM

please give us the numbers from every count because we can't see who is participating or how many people are responding.

Ryan McCauley 05:45 PM

We had 4 people raise hands for Atherton residents, 2 for who rode the train regularly, and 5 for who rarely or never took the train. We have 20 total participants as of now.

Tristan Lopus 05:51 PM

What have been key points or insights of the feedback you have gathered from the community so far?

This question has been answered live

Roland 05:52 PM

Have you considering a North Fair Oaks station with passing tracks to replace Atherton and, if not, why not?

This question has been answered live

Roland 05:55 PM

Will intrusion detection be integrated with the quad gates and, if not, why not? This question has been answered live

**ATTACHMENT 13 - PUBLIC HEARING
COMMENTS AND BOARD CORRESPONDENCE**

July 19, 2020

Peninsula Corridor Joint Powers Board

P. O. Box 3006

San Carlos, CA 94070

Subj: Proposed Closure of Atherton Caltrain Station (Wednesday, July 29, 2020)

Honorable Chair and PCJPB Board Members:

The permanent closure of the Atherton Station would be a broken promise, a promise that was made by Caltrain to restore service as soon as the system was electrified. The Atherton Drop Station, then known as Fair Oaks, was the oldest train stop in the entire state of California, serving this area since 1866, a full 57 years prior to Atherton's incorporation in 1923. I served on the Atherton City Council for 24 years, and during that time I served on several regional boards, including the San Mateo County Transportation Authority. In 1988 an Expenditure Plan Committee was formed to identify projects that would be funded with the Measure "A" sales tax funds. I was one of seven members on this committee (4 city council members, 2 board of supervisors members and one SAMTRANS member). The proposal provided only \$20 million total for Caltrain over a fifteen-year period. Caltrain's survival depended upon receiving additional funds for capital improvements, Right-of-Way acquisition, etc. as the ten-year State of California subsidy was ending in two years. I was the sole dissenting vote. This expenditure plan needed the support of a majority of San Mateo County cities prior to going to a public vote. Along with Frank Pagliaro, then mayor of Burlingame, the two of us were able to get a majority of San Mateo County cities to oppose this expenditure plan. We then formed a new Expenditure Plan Committee, which included all twenty cities, two supervisors and one SAMTRANS member. We made Caltrain the top priority, with half of all the sales tax funds going to Caltrain, which provided approximately \$500 million over a twenty-year period. With the successful passage of this measure in 1988, we formed the San Mateo County Transportation Authority to administer these funds. I chaired this authority, and with the sales tax funds received during the first three years we were able to acquire the rail Right-of-Way, including loans to San Francisco County and to Santa Clara County, as their expenditure plans had not included that expenditure.

The point in reviewing this history is to demonstrate Atherton's support for Caltrain over some of the most critical times in Caltrain's history. Atherton residents supported the renewal of Measure "A" with a seventy one percent support for this measure, whose support assumed continued rail service at our Atherton Station. Permanent closure of our station would be a serious breach of promise to Atherton residents. An earlier survey of Atherton residents showed an overwhelming 84% support for retaining rail service at our Atherton Station.

There has been a history of Caltrain eliminating our peak time service, apparently in an effort to eventually deny our service all together. Previously we had many school children using the Atherton station to travel to their schools. Their train service was eliminated. Atherton train stops were reduced significantly in 2002 and 2004. When Caltrain eliminated all weekday service the town was assured that we would receive restoration of our services when the system was electrified. We believed that promise. With Caltrain considering a new sales tax measure it would be important for voters to have

confidence that they could trust Caltrain to honor its promises, that services would not be indiscriminately eliminated.

Additionally, Atherton residents have made a large investment in Caltrain through the sales tax funds. Based upon the 2004-2005 Caltrain Allocation (from sales tax in San Mateo County) Caltrain's allocation was estimated to be \$29,167,758 (of which \$547,770 was from Atherton residents). Over the 20-year life of this Measure "A" Atherton residents paid an estimated \$9,389,991. If service is permanently taken from Atherton the residents would still have to continue paying this sales tax, but would no longer be served by Caltrain. Atherton would become the only city on the entire Caltrain line that received no service. I don't want to even consider what the consequences would be from this discriminatory treatment of an entire city.

There would be major disadvantages to Atherton residents if the station were permanently closed. Atherton riders enjoy many conveniences using the Atherton station, including unlimited parking. All other Caltrain stations limit parking to twenty-four hours, with cars towed away at the end of the twenty-four-hour period. Several of us worked with Facebook on a plan that would increase Facebook employee Caltrain ridership from stations to the north, with a shuttle running from the Atherton station to the Facebook campus, so ridership numbers are not a justification for denying Atherton its historic rail service.

In summary, public service has always been an important part of my life, believing that our government is here to honestly serve the needs of the public. In addition to serving on our city council and several regional bodies I served thirty-two years in the Navy, retiring as a naval captain. I have believed that the public should be able to reliably count on our governmental bodies to honestly serve the needs of our public and that their word is their bond. Upon my retirement from the city council and regional bodies an Almanac editorial was written describing my tireless efforts on behalf of preserving Caltrain. If you have any doubt as to my efforts on behalf of preserving peninsula rail service I would refer you to the Almanac editorial "Malcolm Dudley the unsung hero"

Thank you.

Malcolm Dudley



JPB Board of Directors
Meeting of September 3, 2020

Correspondence as of September 2, 2020, Part II

Subject

- 1 Closure of Atherton Train Station
- 2 Resident Objection to Proposed Closure

From: [Janet Davis](#)
To: [Public Comment](#)
Subject: Closure of Atherton train station
Date: Wednesday, September 2, 2020 12:12:08 PM

There is a wider population that would want to use the Atherton station than merely the residents of Atherton: there is the nearby community of South Fair Oaks and the residents of the county and RWC area on the other side of El Camino. Ridership is low in good part because of the incompetent management of Caltrain, which is under the "leadership" of Jim Hartnett who has absolutely no qualifications for the job. If you want more people taking advantage of public transportation you need to make that transportation available to people when and where they need it. Atherton is an exclusive community, but Caltrain is supposed to be for the benefit of the entire population, not merely the privileged few. Rather than closing down stations and reducing service Caltrain should hire a competent executive and do a survey of public needs, so that the train can be better utilized.

From: [Laura Caplan](#)
To: [Public Comment](#)
Subject: Resident objection to proposed closure of Atherton station
Date: Wednesday, September 2, 2020 12:44:45 PM

To Whom it May Concern,

I have only today learned that the Board is considering a permanent closure of the Atherton Train station. It is disappointing to say the least that the Board would consider this during a pandemic when of course ridership is down. What a shortsighted move this would be!

Why have local residents not been notified of this proposal? Why would it be done in relative secret at a time when so many people are homebound due to the pandemic? This is unethical and counter-productive. We need MORE public transportation, not less. Who among us does not recognize that fact? This move would negatively affect our community in so many ways.

In the midst of all the local efforts (both public and private) to create additional public transportation options, what is the reason you would consider shutting down a station that is in close proximity to some of the most underserved populations in the region? The Atherton station is walking distance from much of North Fair Oaks, which is home to a high-density population within unincorporated San Mateo County. It was a bad move when, instead of promoting ridership, Caltrain shut down the regularly scheduled stops. But closing the Atherton station permanently would be a terrible mistake. You may also consider the historic nature of the station.

I don't use it daily (obviously now) but have still counted on use of this station for 40 years! Please do NOT close this station but reinstate ability to use it more. I well remember the days I used the station to commute to work in San Francisco accompanied by all the men who still wore suits and hats to work. Times change. But it is clear that in the near future we will need stations like this more than ever. Care enough to use common sense and figure out now how this station can be used in future rather than destroyed.

Laura Caplan
resident of North Fair Oaks/ Menlo Park



JPB Board of Directors
Meeting of September 3, 2020

Correspondence as of August 25, 2020

Subject

1 Atherton Station Closure

From: [Nerissa Dexter](mailto:Nerissa.Dexter)
To: [Board \(@caltrain.com\)](mailto:Board@caltrain.com); caltrainboard@samtrans.com; changes@caltrain.com; boardsecretary@caltrain.com
Cc: ngdexter@comcast.net; [Nerissa Dexter](mailto:Nerissa.Dexter)
Subject: ATHERTON STATION CLOSURE SUPPORT: JPB Correspondence
Date: Monday, August 24, 2020 5:01:11 PM
Importance: High

CAUTION: This email originated from outside of the San Mateo County Transit District. Unless you recognize the sender's email address and know the content is safe, do not click links, open attachments or reply.

Dear Peninsula Corridor Joint Powers Board, Honorable Chair and

Board of Directors: We support Caltrain's proposal to close their

Station in Atherton for the following reasons.

It would be irresponsible to spend an estimated \$30 Million dollars, plus – which is necessary to upgrade this little-used station for electrification (to eliminate the "Hold-Out-Rule") -- given the severe constraint of having only 33 parking spaces to accommodate passengers. (Note: 33 is Caltrain's official number, as reported to the MTC.) Keeping this station open would result in a squandering of Caltrain's limited financial resources and, ultimately, taxpayers' money.

It would be significantly more beneficial to our transportation system, to invest this \$30 Million+, and the savings from operating expenses, to improve nearby, viable, commuter stations, like Menlo Park & Redwood City, which could have the critical mass of service-frequency and express-train-availability -- sufficient to attract 300-500 additional passengers to Caltrain.

But, providing the desirable level of service-frequency will be compromised if station stops are taken away from Menlo Park / Redwood City, in order to create the stops necessary to re-introduce week-day service to Atherton Station (after 15 years).

I encourage Caltrain to close Atherton Station as soon as feasible, because it is a public safety hazard: anyone, at anytime, can wander onto the middle of the tracks from grade-level pathways, over the southbound track, which were paved to provide boarding access to trains on the northbound track which are stopped at this antiquated Station.

Since there are ZERO dollars budgeted through 2027 in Caltrain's 10 Year Capital Improvement Plan (as officially recorded with the MTC), the Atherton Station will have to close anyway, in order NOT to undermine Electrification's commitment to increased throughput.

Let's invest taxpayer money in creating a better rail service for the entire

community, a better service in which people could realistically be able to choose the train over the car far more often than now. Atherton residents can easily use nearby Menlo Park and Redwood City Stations. (Indeed, in parts of Atherton, the Menlo Park Station is physically closer than the Atherton Station.)

Thank you,
Neil and Nerissa Dexter, Atherton, CA, 08/2020



JPB Board of Directors
Meeting of September 3, 2020

Correspondence as of August 28, 2020

Subject

- 1 Proposed Closure of Atherton Caltrain Station
- 2 WPLP Item 4 - Minutes
- 3 Transit Unions Blast Bay Area Coronavirus Safety Plan
- 4 Homeless Encampment

From: [Malcolm Dudley](#)
To: [Public Comment](#)
Cc: [Jim Janz](#); [Malcolm Dudley](#)
Subject: Proposed Closure of Atherton Caltrain Station
Date: Tuesday, August 25, 2020 4:16:44 PM

Peninsula Corridor Joint Powers Board

Honorable Chair and PCJPB Board

Members:

The permanent closure of the Atherton Station would be a broken promise, a promise that was made by Caltrain to restore service as soon as the system was electrified. The Atherton Drop Station, then known as Fair Oaks, was the oldest train stop in the entire State of California, serving this area since 1866, a full 57 years prior to Atherton's incorporation in 1923. In 1988 a San Mateo County Expenditure Plan Committee was formed to identify projects that would be funded with the Measure "A" sales tax funds. Malcolm Dudley served on this committee and led the fight to increase Caltrain's share of the sales tax revenues from \$20 million to approximately \$500 million. Caltrain's survival depended upon receiving additional funds for capital improvements and Right-of-Way acquisition as the ten-year State of California subsidy was ending in two years. With the successful passage of this San Mateo County Measure "A" in 1988 we formed the San Mateo County Transportation Authority to administer these funds. With the sales tax funds received during the first three years we were able to acquire the Rail Right-of-Way. San Mateo County loaned funds to San Francisco County and to Santa Clara County, as their expenditure plans had not included that expenditure.

The point in reviewing this history is to demonstrate Atherton's support for Caltrain over some of the most critical times in Caltrain's history. Atherton residents supported the renewal of San Mateo County Measure "A" with a seventy one percent support for this measure. Support was based upon the promise of continued rail service at the Atherton Station. Permanent closure of our station would be a serious breach of promise made to Atherton residents. An earlier survey of Atherton residents showed overwhelming 84% support for retaining rail service at our Atherton Station. Personally we would find it hard to support the new proposed Caltrain sales tax measure if Caltrain failed to live up to its earlier commitments. Trust in our governmental institutions is particularly important at this time.

Unfortunately there has been a history of Caltrain eliminating our peak time service, apparently in an effort to eventually deny our service all together. Previously we had many school children using the Atherton Station to travel to their schools. Caltrain eliminated their train service. Atherton, working with Facebook, proposed Facebook
JPB TITLE VI EQUITY EVALUATION- PROPOSED ATHERTON STATION CLOSURE

employee service, using a shuttle between the Atherton Station and the Facebook campus. The plan involved passengers traveling between San Francisco and other stations south of San Francisco to the Atherton Station, much the way that Facebook employees travel from San Jose to California Avenue, with shuttle service to the Facebook Campus.

Additionally, Atherton residents have made a large investment in Caltrain through the sales tax funds. Based upon the 2004-02005 Caltrain Allocation (from sales tax in San Mateo County) Caltrain's allocation was estimated to be \$29,167,758 (of which \$547,770 was from Atherton residents). Over the 20-year life of this Measure "A" Atherton residents paid an estimated \$9,389,991.. If service is permanently taken from Atherton the residents would still have to continue paying this sales tax, but would no longer be served by Caltrain. Atherton would become the only city on the entire Caltrain line that received no service.

There would be major disadvantages to Atherton residents if the station were permanently closed. Atherton riders enjoy many conveniences using the Atherton Station, including unlimited parking. All other Caltrain stations limit parking to twenty-four hours, with cars towed away at the end of the twenty- four hour period.

Jim Janz and Malcolm Dudley, both former Atherton Mayors. Both have worked on Caltrain issues for many years. Malcolm served on the Expenditure Plan Committee and chaired the San Mateo County

transportation Authority. We both strongly support restoration of Atherton rail service. It would be hard for voters to trust an organization that could not be trusted to honor its commitments.



JPB Board of Directors
Meeting of September 3, 2020

Correspondence as of September 3, 2020

Subject

1 Atherton Station Shelter

From: [Bill Hough](#)
To: [Public Comment](#)
Subject: Public comment on item not on agenda
Date: Thursday, September 3, 2020 10:27:54 AM

Today, there was a public hearing on the closure of Atherton Station. I have no dog in this fight, but if Atherton is closed, I urge Caltrain to make an effort to find a home for the Atherton Station shelter. I am sure a railroad museum or a historical society could use it and it is better to recycle rather than destroy it.

William Hough

From: Karin Zalec
To: changes@caltrain.com
Subject: Proposed Closure to Atherton Train Station - PLEASE DO NOT CLOSE IT!
Date: Friday, September 4, 2020 10:29:31 AM

I was unable to attend the public meeting yesterday. However, I want you to know that I use the Atherton Train Station every weekend and I'd use it every weekday if it were open. It's the nearest station to my home which is near Marsh Road. I don't drive, and it's the only train station that I can walk to in a reasonable amount of time. Both the Menlo Park and Redwood City Caltrain Stations are much too far away for me to walk and there is no bus service that can get me to other Caltrain stations in a reasonable amount of time.

PLEASE do not close the Atherton Caltrain Station on the weekends. It's bad enough that I no longer can use it during weekdays. Thanks for making my opinion count.

Kimmy Zalec

Public Hearing Comments – Summary of Comments Rick

DeGolia

From our perspective, this is a hard issue as Atherton Caltrain Station is an important asset to the town of Atherton. Atherton's Mayor, for the longest period of time, Malcolm Dudley was one of the two people in getting Caltrain funding originally, establishing Caltrain, and obtaining the right of way. We feel a great deal of association with Caltrain. We do believe, and we've looked at this closely, the benefits that are identified are accurate. I think that the three most important benefits to Caltrain are of course the 30 million dollar savings that would result that would not have to convert the hold out station, the efficiency improvements, which may could have been more fully stated, and the train will gain 5 minutes or more by closing the station. I think that is a benefit to other riders and we want to support the mass transit that Caltrain represents, and finally not having to continue to maintain the Atherton station building. For Atherton, the most significant is the safety benefit, the installation of the fence and the quad gates that would make this corridor much safer for residents in the town and the use of the property. There are 30 parking spaces, and we will use it, and there will be bike storage racks that will be removed.

Caltrain had been committed to include some minimal landscape screening and since Atherton, this is close to the new town center and we want to make sure you include that in the cost allocations through a final MOU

Roland LeBrandt

The first thing I like to bring to attention is that something missing from the presentation is that the existence of this hold out platform is posing an excessive distance between the gates at Fair Oaks Lane. Specifically you would normally expect the gate 30 feet apart, but it is now 50 feet apart, and the end result of that is that you are increasing the gate down time by 15 seconds to make it possible for people with disabilities to travel the extra distance when the gates come down. I believe it is addressed in the High Speed Rail San Francisco to San Jose ----. With regards to closing the station, yes, it has great positives. Our investment moving forward and any revenue we might get should be directed to a study and the initial design of a RWC Junction Station and what eventually that would allow us to do is connect to the Dumbarton Rail Station. Right now the station is dead but if we can come up with a solution to connect Facebook with the Peninsula and the East Bay Facebook campus that would go back to the Board. At that time we lay the foundation for the Dumbarton Junction.

Alex Kee

I'm an Atherton Resident and I support the Atherton Station closure under the condition that

Caltrain and Atherton come to terms on that MOU. To me, the MOU is very important since restoring weekday service was one of the long time commitments Caltrain has made to Atherton residents. That will be changing and that will be fine as long as if there is an equitable MOU that the town and Caltrain can come into agreement to and that's why I'm in support of the closure. Thank you. Nerissa Dexter

This is Nerissa Dexter of Atherton. I support Caltrain's proposal to close their station in Atherton for the following reasons- increasing the frequency of train service and the amount capital investment at high growth stations like Redwood City and Menlo Park will allow many more people to realistically choose the train over the car. It would be irresponsible to spend the estimated 30 million dollars necessary to upgrade the little used Atherton Station given its severe constraint of limited having only 33 parking spaces to accommodate potential passengers. Instead, invest the 30 million dollars and the savings in operation expenses from closing station to improve nearby viable commuter stations which could then have the critical mass of service frequency and express train availability sufficient to attract 300-500 additional passengers to Caltrain. But providing this desired level of service frequency will have to be compromised, if station stops have to be taken away from Menlo Park and RWC in order to create the stops necessary to reintroduce weekday service to Atherton station after 15 years. I support Caltrain's proposal to close Atherton Station to create a better rail service for the entire community, a service that Atherton residents can easily use. And finally, I encourage Caltrain to close the Atherton station as soon as feasible because it poses a significant public safety hazard: anyone can wander onto the middle of the tracks with 79 mph trains from grade level pathways over the southbound tracks at this antiquated station. I thank you

Alita Dupree

I do think that we need this and close the station. The biggest issue for me is that station in its current configuration requires the hold out rule for safety reasons. Having stations subject to the hold out rule is impeding our ability to offer more frequent and efficient service. This came from decisions that were made many years ago and now is the opportune time to for us to correct this. The idea of closing stations is not new and I've seen stations closed in the past on LIRR and Metro North in New York and for I'm sure for similar reasons. So the hallmark of Caltrain going forward is to be a productive railroad; not to make any more stops as usual as long as the stops are not too far apart. We want to be able to use money for other things than to try to rebuild a station that is not going to get much use. So I think we should complete this work and close the station so that we can build new things going forward.

Ben Naresan

I live across the street from the Atherton Station. I'm not going to debate the benefits of closing or keeping open the station, however Caltrain had made a commitment to restoring service, they knew the cost of doing so, now that they've changed their mind and we have allowed that to happen they'll save 30 million dollars. One of the reasons I didn't protest is that is the idea of having a walkway and a bicycle path between Atherton and Menlo Park. I do routinely walk to

Menlo Park to catch the train. It's about a 23 minute walk most of which is on El Camino with no sidewalk. If that is committed to, which is what I understood, that makes great sense you provide a way for pedestrians to travel in this area at no risk to themselves. By the way, the risk of the train station is de minimis. I've been here for 17 years and never heard of an injury, but the risk of walking down El Camino is significant. So my comment is that by merely having it discussed and evaluated, they will forget the savings they had and I would ask to the commitment to the walk and bike path be baked into the MOU. It will cost less than the 30 million and is a good use of those funds.

Jeff Carter

I support the closure of the Atherton Station for the all the reasons stated. I very much appreciate the comments made by the Mayor of Atherton and I think it will be a benefit to Caltrain in the long run to close the station and explore looking at similar Redwood City station. I thank you the meeting. Just like to add Atherton has been a thorn in the side of Caltrain for the last several years, they have been opposed to electrification, opposed to more frequent service, and have been opposed to high-speed rail. It's very unfortunate that Atherton doesn't see the light in better rail service.

Catherine

I'm a North Fair Oaks resident and Caltrain commuter. I just wanted to share my experience. I live exactly 2 miles between Redwood City and Menlo Park, but less than half a mile from Atherton Station. So Atherton station would be my preferred and most convenient Caltrain station. I wish it was available for weekday service. Before Covid, I would ride my bike 2 miles everyday to RWC which is not convenient or practical for a lot of North Fair Oaks residents. Since the station has been closed on weekdays since 2005, I don't think we really have a good sense of how many potential riders and commuters from NFO. But I think that number has probably changed a lot in the last 15 years. So thank you for the presentation and the due diligence you guys are doing, I just urge you to keep considering North Fair Oaks and the commuters here.

Matt Chen

I'm a resident of Atherton, I live within walking distance of the station. I support the closing the station particularly in light of the proposed safety improvements and the nearby access to Redwood City and Menlo Park stations, both of which I may note, have Baby Bullets and or more consistent service given the high ridership. If I do have to have a comment about the MOU, I would ask that Caltrain look closely at that commitment for a bike path or walking path to either of those two stations.

Cary Weist

Councilmember Town of Atherton, I'm going to reiterate what the mayor has said. I'm not going to not to repeat it, I want to just thank the JPB Board for considering this MOU. I think it benefits both parties, there's give and take to both sides, but I think there will be tremendous benefit to the service component, which I think in general all the parties here are interested again. So again, thank you guys for considering and we can work on the details if there's anything that raises concerns.



JPB Board of Directors
Meeting of October 1, 2020

Correspondence as of September 11, 2020

Subject

- 1 Closure of Atherton Caltrain Station
- 2 San Francisco to San Jose draft EIR/EIS Comments
- 3 09-10-2020 SB 288 Letter to Governor

From: [Malcolm Dudley](#)
To: [Public Comment](#)
Cc: [Rick DeGolia](#); [Cary Wiest](#)
Subject: Failed to be recognized in today's public hearing on Closure of Atherton Caltrain Station
Date: Thursday, September 3, 2020 10:14:10 PM

Please pass to Board Members.

I was not successful in my attempt to speak today, therefore I want to pass along my comments concerning this important issue. Presumably you have read my earlier email comments. Having spent years working in support of our Caltrain system, I am very disappointed in the dishonesty and the way Caltrain has treated Atherton. During the twenty four years I served on the Atherton City Council, and many years serving on many regional bodies, including the San Mateo County Transportation Authority, San Mateo County Lafco, Regional Planning and Airport Land Use, etc I always felt it was important to earn the public trust, to be honest in our efforts to serve the public. Unfortunately that has not happened in how Caltrain has treated Atherton. Having chaired the San Mateo County Transportation Authority in its earliest years, and on the San Mateo County Measure "A" expenditure plan committee that created the TA, I had the opportunity to work with and know those who worked on the Caltrain projects we funded.

The first Measure "A" proposal was a fifteen year plan that allocated only \$20 million for Caltrain over the fifteen year life of this measure. Caltrain did not own the rail right-of-way and needed funding for critical capital improvements. Without additional funds the future was uncertain. The vote on that measure was 6 to 1, where I was the sole negative vote. The future for Caltrain depended upon receiving significantly more funds. I worked to get a majority of cities to vote against that proposal, with the commitment to come back with a balanced transportation measure. The majority of cities agreed with us and voted down the first measure. We then created a new Measure "A", making Caltrain the number one priority, with approximately \$500 million over a twenty year period. With the voter passage of that message we were able to purchase the rail right-of-way within three years of passing the sales tax measure

The dishonesty followed the period I served on the San Mateo County Transportation Authority. There was a deliberate effort to reduce the Atherton Station ridership. The first steps were to cut out our peak hour service, which among other things, eliminated all of the school children riders. When we complained about losing our most important stops we were told that it could have been much worse as there were staff people who were out to cut out all service at our station. There were other events that negatively impacted Atherton service, but the explanations were not honest. When the staff eliminated all weekday service we were promised that our service would be restored upon completion of the electrification. In order to persuade the town to agree to permanent closure Caltrain offers to eliminate the hold out and to install Watkins Avenue quad gates. Again this is dishonest. I was a part of the expenditure plan

committee that prioritized capital improvements, which included both of these items. Offering a path from the Atherton Station to the Menlo Park station makes no sense for older passengers. It makes no more sense than the shuttle that ran between the Atherton Station and the Redwood City Station, which lasted a very short time. People were not going to the Atherton Station, parking their car, waiting for a shuttle, then waiting to catch a Redwood City train.

In an earlier survey of Atherton residents over eighty percent were in favor of maintaining Atherton rail service. They supported renewal of Measure "A" with 71% of the vote, based upon the continuance of Atherton train service. Atherton residents have paid about \$500,000 annually in sales tax, and would have to continue paying these taxes, while receiving no service. With the broken promises there certainly would be a loss of trust in Caltrain, and therefore not likely to support any new tax, while receiving no service. I would certainly oppose any new tax until earlier promises were honored. I have opposed, successfully, the earlier measure that provided very little for Caltrain, then worked to pass a new measure more favorable to Caltrain. If Caltrain does not honor its promise to honor past promises I will have no choice but to work against passage of an additional tax. Public trust depends upon having trust in our government, something that needs to be earned.

Malcolm Dudley, former mayor and former chair of the SMCTA.



Proposed Closure of the Atherton Station

November 5, 2020

Proposed Actions Today

- Authorize Executive Director to execute Memorandum of Understanding (MOU) and Maintenance and Use Agreement (MUA) with Town of Atherton
- Approve addendum to PCEP EIR
- Accept Title VI Equity Analysis
- Approve closure of Atherton Station and eliminate weekend service (contingent on completion of NEPA environmental re-assessment)
- Authorize additional agreements/actions as needed to effectuate decision

Background

- Weekend-only service provided since 2005
- PCEP EIR reflects commitment to restore regular weekday service at Atherton after electrification
- Station is one of few remaining “holdout” rule stations, due to older center platform configuration
- Jan. 8, 2020 letter to Town proposing closure
- Jan. 15, 2020 City Council tentative endorsement of closure subject to agreement on MOU

Station Closure Benefits

- Provides Caltrain with opportunity to re-allocate service to adjacent stations where denser land uses and improved travel times will generate more ridership and provide broader benefit to public, potentially increasing daily ridership by 300-500
- Saves costs associated with Station operations and maintenance
- Obviates need for future station rebuild to remove holdout rule, previously estimated at over \$30 million
- Reduces noise and improves safety for Town residents
- Better integrates non-operating station property into Town's pending Civic Center redevelopment

JPB-Atherton MOU

- Negotiated by JPB and Town staff
- Includes commitment to sign Maintenance and Use Agreement (MUA) to apply after station closure
- Draft MOU approved by Atherton Town Council on October 26
- Staff seeking allocation of funds from San Mateo County TA to fund key items on November 5

JPB-Atherton MOU

- JPB responsibilities:
 - Closure of Atherton Station, including legal and environmental compliance
 - Make near-term station area modifications, including removal of center boarding platform and construction of temporary fence separating operating right-of-way from rest of station property
- Both parties to sign MUA for Town to:
 - Assume maintenance responsibility for portion of station area
 - Construct and maintain landscaping and other Town Center-related improvements

JPB-Atherton MOU

- JPB to secure funding from San Mateo County Transportation Authority and outside grant sources for:
 - Fixed contribution toward development and implementation of initial plan by Town to provide site improvements in Maintenance and Use Area
 - Fixed contribution toward study and implementation of active transportation route from Atherton Town Center to Menlo Park Caltrain Station
 - Design and installation of four-quadrant gate (“quad gate”) at Watkins Avenue grade crossing to improve crossing safety
 - Procure and install permanent fencing to separate Town Civic Center from operating rail corridor

Cost & Funding

Project Element	Cost Estimate	Source
Demobilization and Temporary Fencing	Up to \$600,000	FY21 Contract Operator Budget
Permanent Fencing and Watkins Avenue Quad Gates	\$5,800,000	Local funds and grant sources
Contributions toward site integration improvements and access study*	\$400,000	Local funds and grant sources

*Work to be led by Town of Atherton

Addendum to PCEP EIR

- PCEP EIR certified by JPB on January 8, 2015
- Final EIR project description included restoration of weekday service at Atherton Station after electrification
- CEQA requires addendum of EIR for minor technical changes or modifications to proposed project
- Addendum concludes no new significant impacts, no substantially more severe impacts with closure of Atherton Station and removal of station improvements

Title VI Equity Analysis

- Closure of Atherton Station results in Major Service Change
- Requires service equity analysis on system-wide level to determine if change would result in disparate treatment of protected classes
- Public hearing held at JPB's October 2020 meeting
- Conducted additional public outreach and sought input
- Analysis reveals service change does not present disparate impacts for minority riders or place disproportionate burdens on low-income riders

Proposed Actions Today

- Authorize Executive Director to execute MOU and Maintenance and Use Agreement MUA
- Approve addendum to PCEP EIR
- Accept Title VI Equity Analysis
- Approve closure of Atherton Station and eliminate weekend service (contingent on NEPA re-assessment)
- Authorize additional agreements/actions as needed to effectuate decision

Questions?

**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Michelle Bouchard
Chief Operating Officer, Caltrain

SUBJECT: **COVID RECOVERY PLANNING UPDATE**

ACTION

Staff Coordinating Council recommends the Board of Directors (Board) receive an update on COVID recovery planning activities including an informational ppt focused on a proposed end of year service change.

SIGNIFICANCE

At the June 2020 Board Meeting, Peninsula Corridor Joint Powers Board (JPB) staff announced that activity on the Caltrain Business Plan would pause and pivot toward COVID Recovery Planning efforts. At the September 2020 Board Meeting the Board adopted the Equity, Connectivity, Recovery & Growth Framework (the Framework) – a significant policy document that outlines Caltrain's approach to recovering from the COVID-19 Pandemic and growing the system in a manner consistent with the larger Business Plan process. The framework includes specific policies and actions that describe how Caltrain can recover in a way that emphasizes improving equity outcomes on the system and enhancing connectivity to the region's transit network.

Following the adoption of the Framework, Caltrain staff has continued work on recovery planning. The update presentation this month focuses on ongoing, near-term service planning work, building toward a proposed service change in December of this year.

Potential service changes are a near-term opportunity to implement significant equity related initiatives and to align Caltrain's service offering with observed changes in market demand and with the agency's available financial resources. Staff is presenting initial analysis and recommendations to the Board and will then work to solicit stakeholder feedback and refine the proposed approach throughout the month of November.

BUDGET IMPACT

There is no budget impact associated with receiving this informational update.

BACKGROUND

In 2017, the JPB secured full funding for the Peninsula Corridor Electrification Project and issued notices to proceed to its contractors for corridor electrification and purchase of Electric Multiple Unit railcars.

Now that construction on this long-awaited project is underway, the agency has the opportunity to articulate a long-term business strategy for the future of the system. The initial concept for a Caltrain "Business Plan" was brought to the Board in April of 2017. The Board reviewed a draft scope of work for the Business Plan in December of 2017 and adopted a final Business Strategy and Scope of Work in February of 2018. Technical work on the Plan commenced in the summer of 2018. The Business Plan has been scoped to include long-range demand modeling, and service and infrastructure planning, as well as organizational analysis and an assessment of Caltrain's interface with the communities it traverses. In October of 2019, the JPB marked a major milestone in the Business Plan process with its adoption of a "2040 Service Vision" for the Caltrain system. This action set long-range policy guidance for the future of the Caltrain service and allowed staff to advance toward the completion of the overall plan by summer of 2020.

Starting in March of 2020, however, the emergence of the COVID-19 Pandemic resulted in a rapid and severe crisis for the railroad, with ridership plummeting by as much as 98% and the implementation of significant service cuts. Based on this unprecedented circumstance, staff informed the Board of their decision to temporarily pivot Business Plan efforts toward recovery planning in June of 2020.

Prepared by: Sebastian Petty, Deputy Chief, Caltrain Planning

650.622.7831

Caltrain Business Plan

COVID RECOVERY
PLANNING

UPDATE ON NEAR TERM
SERVICE PLANNING

November 5, 2020



Ongoing Recovery Planning Efforts

Caltrain has pivoted its Business Plan effort to focus on COVID-19 Recovery planning. This work is spread across multiple streams as shown on the right

Caltrain staff will engage regularly with the Board, stakeholders and the public as recovery planning proceeds over the next several months



Equity, Connectivity, Recovery, & Growth Framework



Near Term Service Planning



Financial Analysis



Scenario Planning

Ongoing Recovery Planning Efforts

Caltrain has pivoted its Business Plan effort to focus on COVID-19 Recovery planning. This work is spread across multiple streams as shown on the right

Caltrain staff will engage regularly with the Board, stakeholders and the public as recovery planning proceeds over the next several months



Equity, Connectivity, Recovery, & Growth Framework



Near Term Service Planning



Financial Analysis



Scenario Planning

Context & Background

Multiple Phases of Crisis & Response

Initial Triage

March 2020 – May 2020

Surviving the Pandemic

May 2020 – 2021 (?)

Preparing for the Next Reality

2021 and Beyond



Initial crisis and immediate triage response by Caltrain

Extended period where Pandemic is ongoing and Caltrain ridership and operations remain deeply impacted and in a state of dynamic flux. Railroad's financial position is precarious

Long-term resolution of pandemic through vaccine or other permanent public health approaches. Caltrain adjusts to new Business Environment

The Pandemic

The U.S. and the world continue to experience waves of the COVID-19 pandemic.

Public health experts, like Dr. Fauci, have indicated that they expect a vaccine could be available for mass distribution around Q2 2021, while social distancing guidelines are likely to remain in effect through at least Q3 2021.

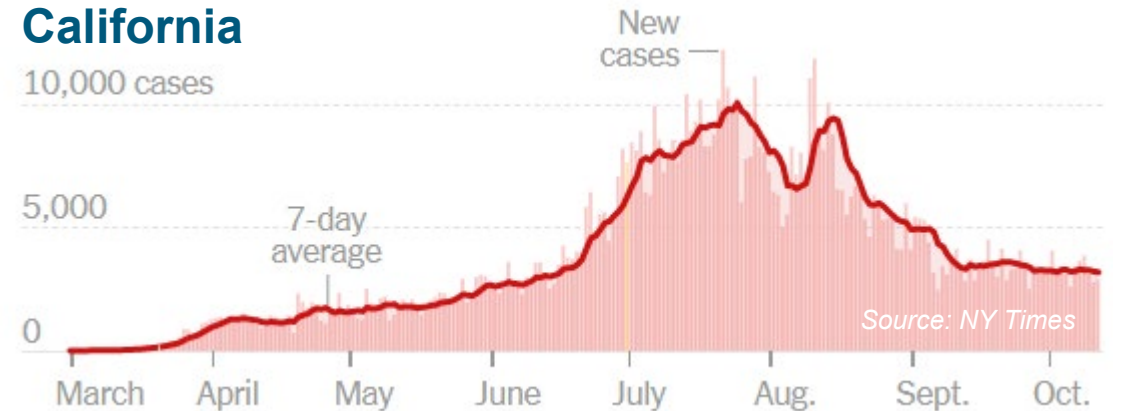
Global



US



California

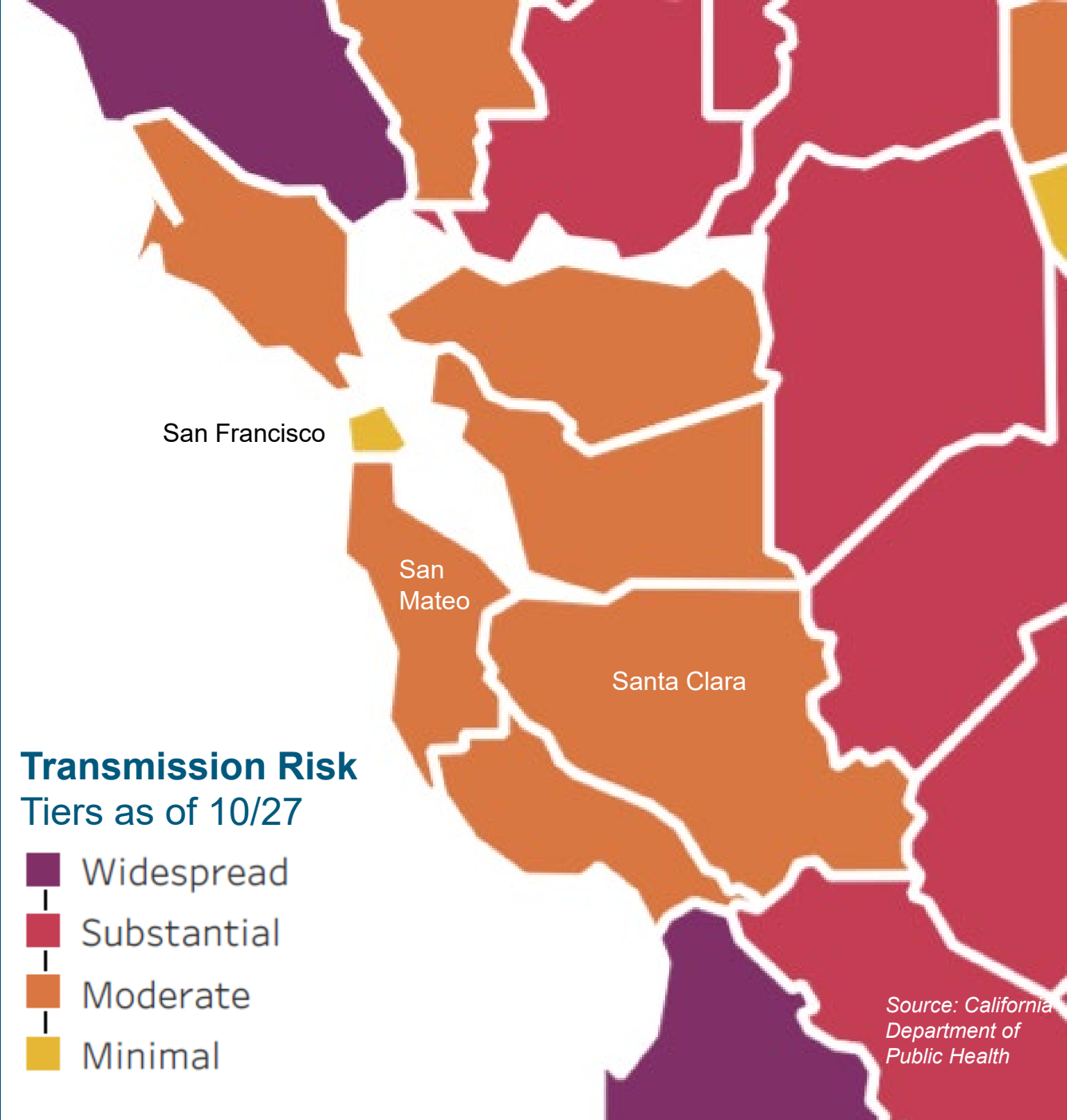


The Pandemic & Bay Area

The Bay Area has been under a shelter-in-place order since March. Cases loads have generally remained lower than other regions in the country.

On October 20th, San Francisco became the first urban county to reach the state's least restrictive tier in California's reopening blueprint—although non-essential offices can open at 25% capacity.

Many large companies have announced plans to continue remote work through at least July 2021. Some have announced permanent shifts toward remote work and hybrid work options.



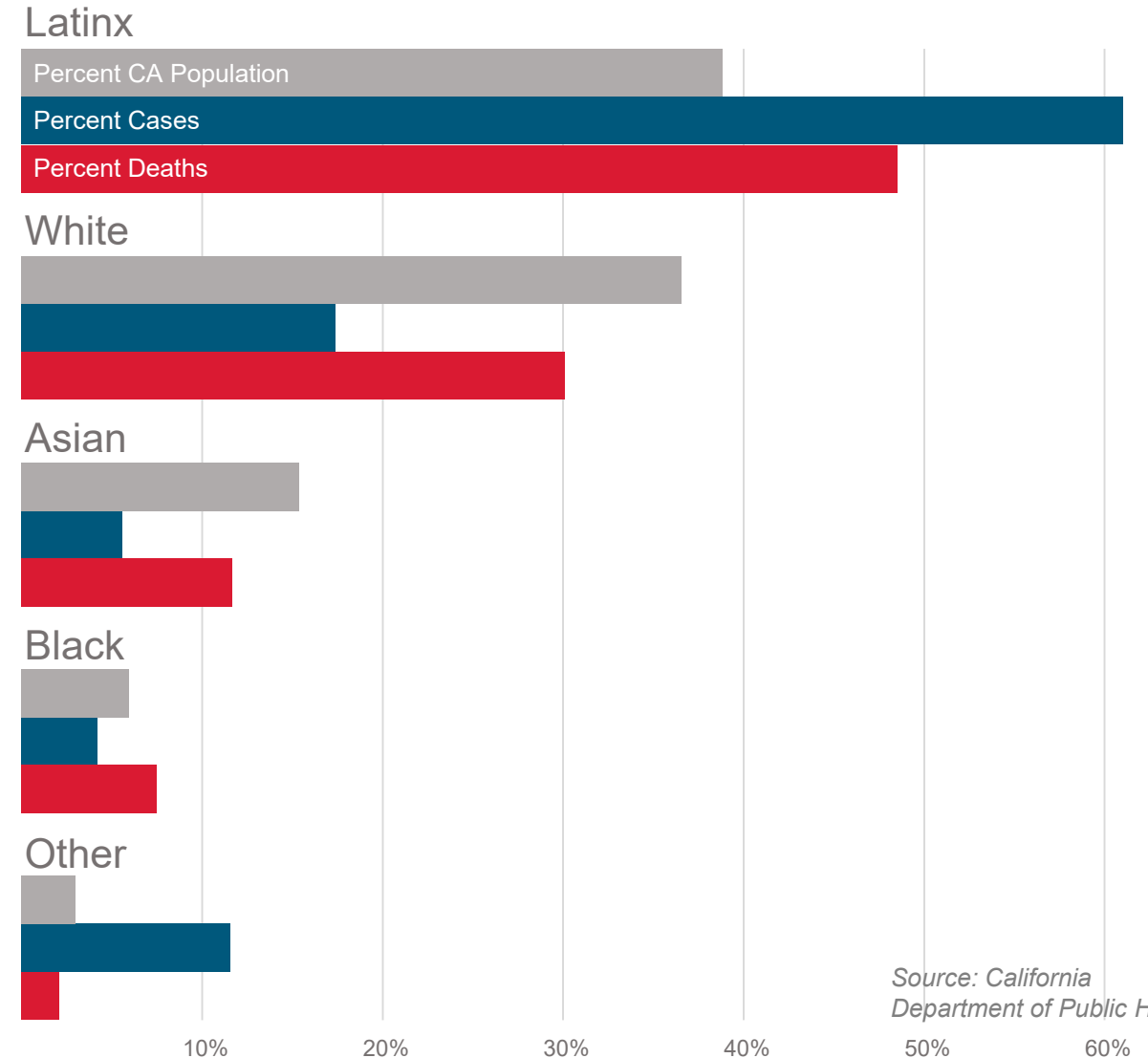
The Pandemic & Equity

The COVID-19 pandemic and economic effects have disproportionately affected low income communities and communities of color.

These populations have been more likely to face exposure as essential workers or be adversely affected by the shelter-in-place order.

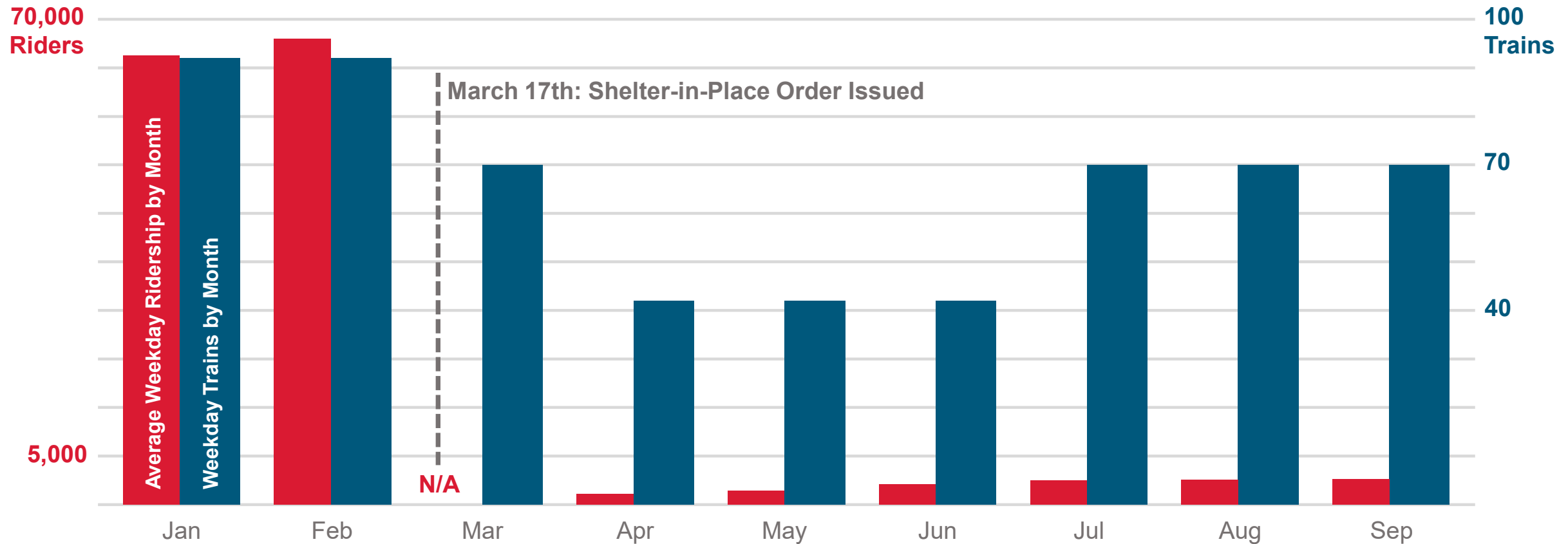
Caltrain's **Equity, Connectivity Recovery & Growth Framework** (adopted at the September JPB meeting) provides guidance to Caltrain regarding ways it can make its services more useful and accessible to these communities

California's COVID-19 Cases and Deaths by Race and Ethnicity



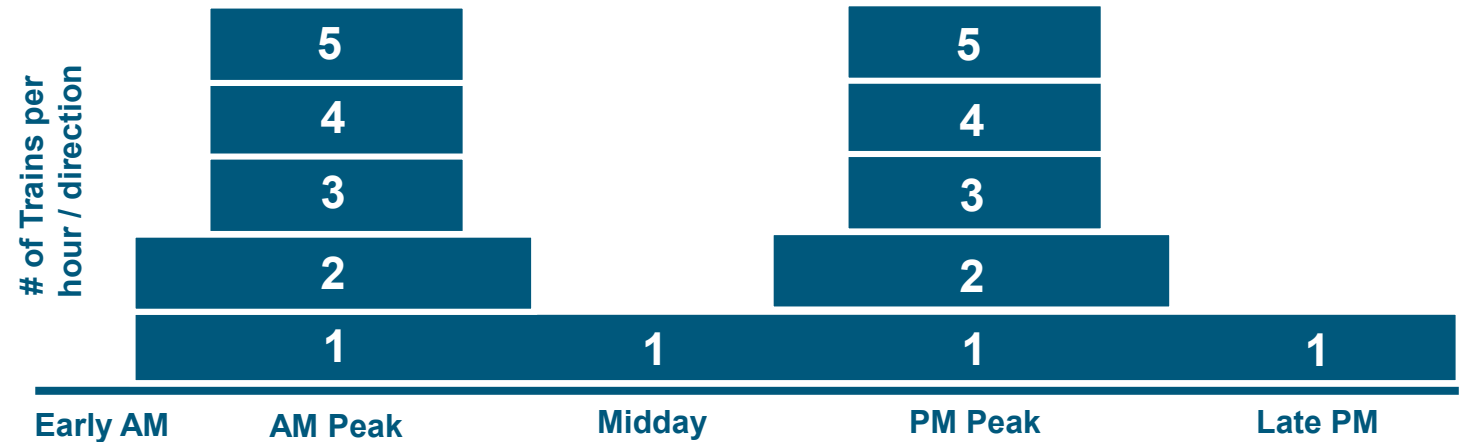
Source: California Department of Public Health

Changes in Caltrain Service and Ridership

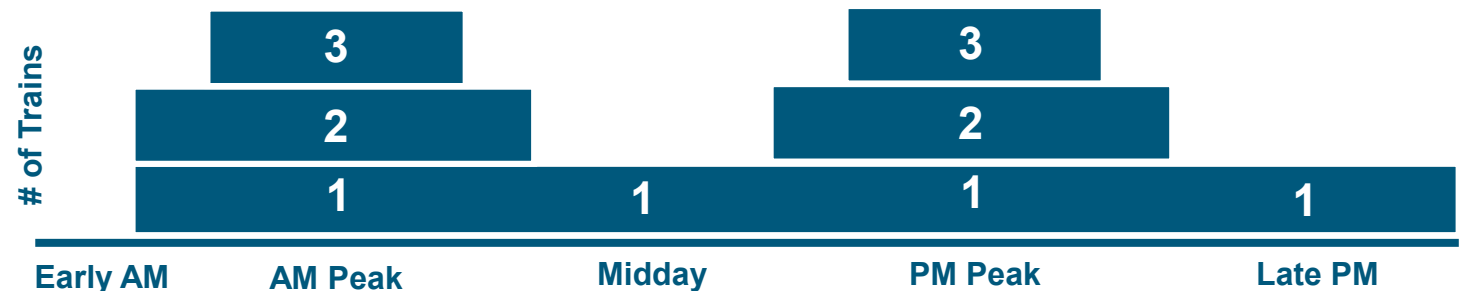


Change in Weekday Service Levels

Pre-COVID Service Plan
92 Trains/Day
65,000 Daily Riders



Current Service Plan
70 Trains/Day
~3,500 Daily Riders



Health & Safety

Enhanced Cleaning



Face Coverings



Physical Distancing



Since the start of the pandemic, Caltrain has aggressively implemented enhanced safety protocols with an emphasis on frequent cleaning, mask requirements for all employees and passengers, and physical distancing onboard trains. Caltrain has partnered with other Bay Area transit agencies to develop common commitments and expectations for employees and passengers – and the JPB adopted the [**Riding Together—Bay Area Healthy Transit Plan**](#) at its September meeting

Caltrain Finances

Lacking a dedicated source of funding, Caltrain is highly dependent on fare revenue. With ridership devastated by the pandemic, Caltrain has had to rely heavily on CARES Act federal relief funding. The railroad has avoided devastating service cuts and has refrained from furloughs while using these funds.

CARES funding will be exhausted soon, and Caltrain must consider how to balance service costs, customer needs and available financial resources as it looks toward the coming year.

A Challenging Fiscal Outlook



Fiscal Year 2021 Budget

- The JPB has incrementally approved balanced quarterly operating budgets for Q1 and Q2
- A deficit of at least \$18.5 million is projected for the remainder of the fiscal year
- Deficit could be higher if ridership recovery is slow or GoPass participation drops further
- Fiscal year 2022 will present additional financial challenges



Analyzing Options

- Caltrain is exploring a variety of deficit closure options related to both revenue generation and cost reduction
- Service plans shown here are being analyzed for cost implications



Winter Service Change: Context and Goals

Caltrain continues to navigate a period of extreme uncertainty relative to both the financial health of the system as well the trajectory of the pandemic and its impact on ridership recovery

Context

- The COVID-19 Pandemic is ongoing and the path to recovery and resolution is uncertain. Reopening of the region has been slow and uneven
- CARES Act funding will be exhausted in December timeframe. Overall financial state of railroad is highly uncertain
- Hillsdale reopening, potential Atherton closure and ongoing major construction on corridor

Goals

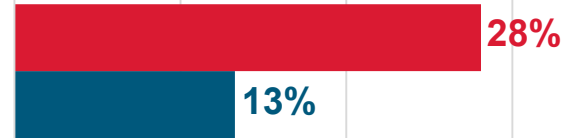
- Develop a consistent service framework that can be scaled up (and down) based on demand and funding availability while minimizing disruption and confusion for riders and connecting transit
- Focus on serving the riders who need Caltrain most, with an emphasis on implementing key elements of the ECRG policy
- Balance travel time and coverage goals while also maintaining capacity for social distancing

Overall Service Approach

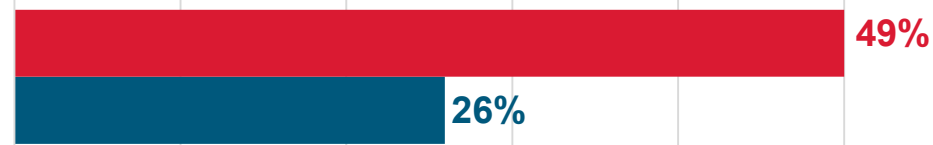
Who's riding Caltrain during COVID-19?



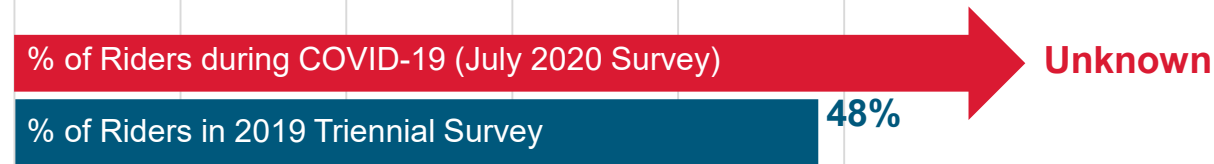
Share of riders that qualify for **low income housing assistance**



Share of riders that live in households earning **less than \$100k** per year



Share of riders that **did not have to a car**



Ridership has skewed toward essential workers, many of whom live in low- or middle-income households.

0% 10% 20% 30% 40% 50%

Based on the July 2020 online survey, 2019 Triennial Survey



Where Are Riders Traveling?

Caltrain ridership patterns have shifted during COVID-19, with ridership comprised of essential workers in healthcare, life sciences, government, and related fields.

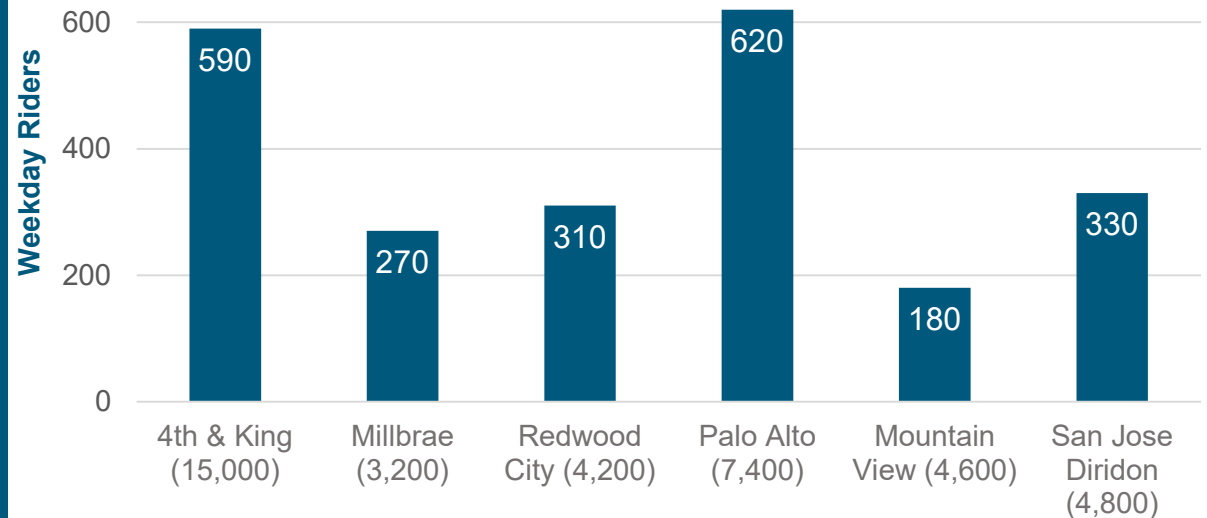
Rider Trip Purposes

70% of riders commuting to work

50% of riders work in healthcare, life sciences, or government

10% of riders traveling to medical appointments

September 2020 Weekday Ridership at Top Ridership Stations (2019 Ridership for Comparison)



Ridership Concentration

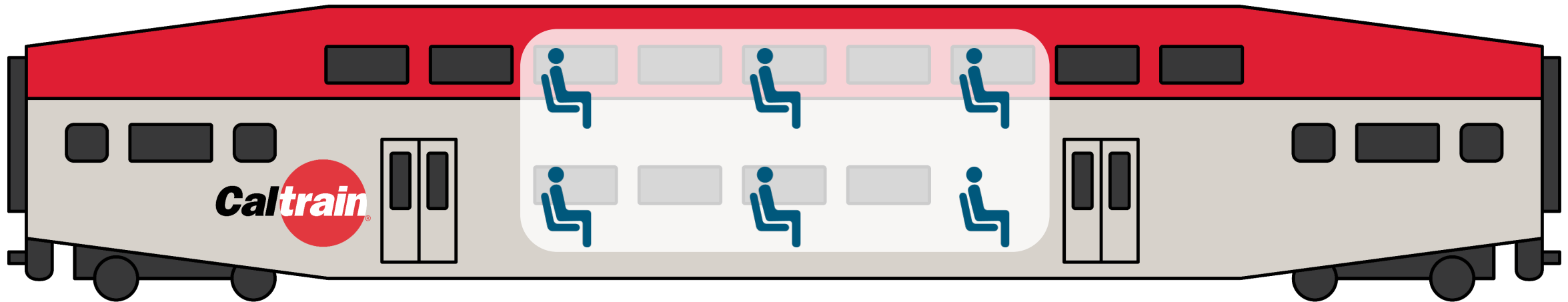
Ridership during COVID-19 has been more concentrated around stations with major medical centers like Palo Alto and Redwood City, with fewer riders commuting to offices due to COVID restrictions.

Gilroy Extension

Ridership on the Gilroy extension (50 riders per day) mirrors systemwide decline.



Social Distancing



Social Distancing

Trains can handle about 33% of seated capacity (roughly 250 passengers) in order to maintain 6 feet of distance between passengers, or about 500 passengers to maintain 3 feet of distance.

Ample Space is Available

On a typical day, Caltrain served a max load of around 8% of seated capacity in September (about 60 passengers).

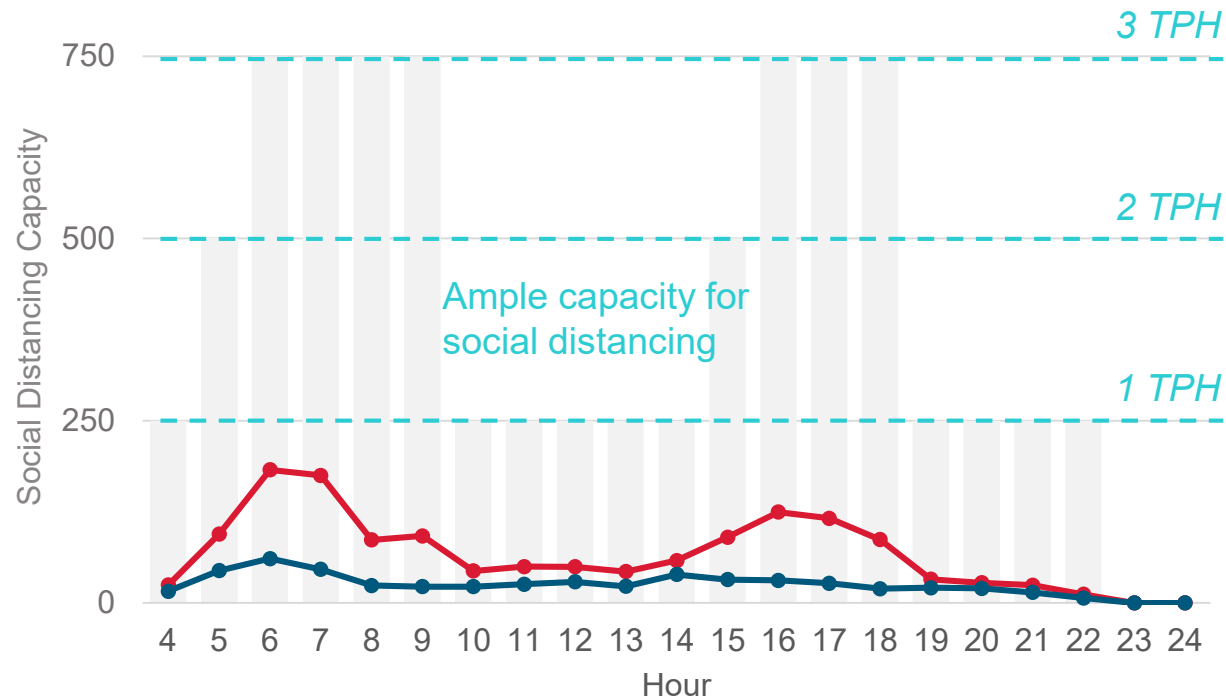


When are Riders Traveling on Weekdays?

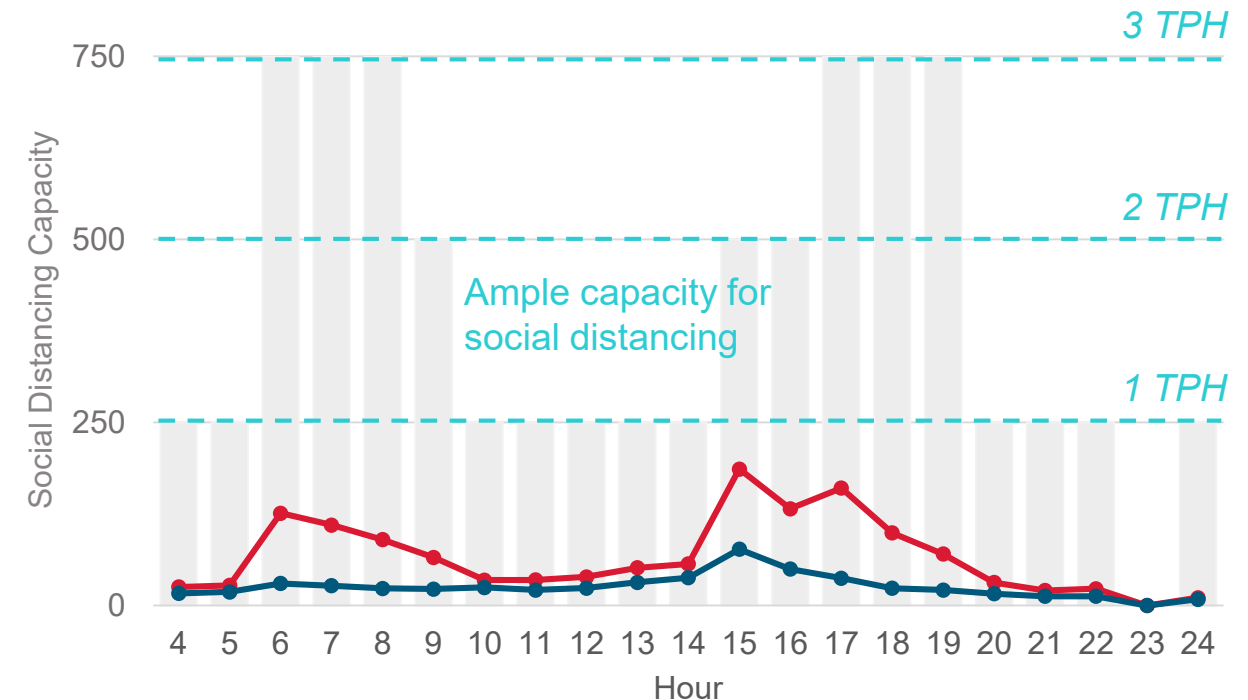
Weekday ridership has experienced earlier peaks due to a higher proportion healthcare workers

Average Weekday Ridership vs. Social Distancing Capacity

Northbound



Southbound



■ Social Distancing Capacity (6 Feet) ● Riders per Hour ● Estimated Max Load per Train

Based on September 2020 ridership and SF/SJ departure times



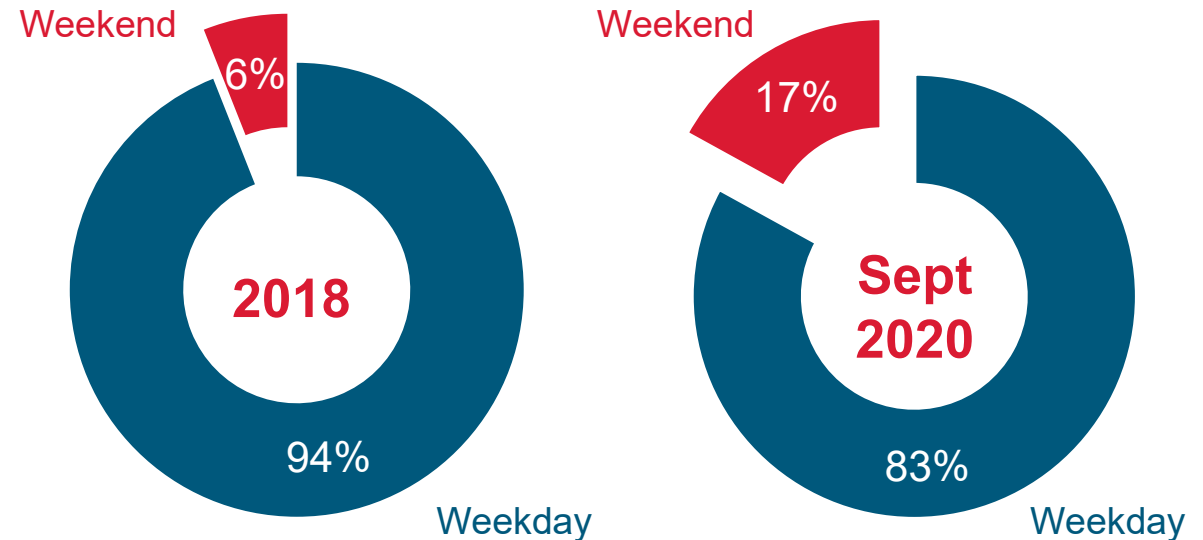
Weekend Ridership Patterns

The share of weekend ridership (1,900 per day, 17% of all riders) is three times greater than pre-COVID-19. The resiliency of weekend ridership is likely due to continued use by essential workers and low-income riders.

Ridership on Local trains is about 20% higher than on Bullet trains as the market for leisure trips has declined.

Based on September 2020 ridership, 2019 ridership counts, and 2019 Triennial Survey

Weekly Ridership, Pre-COVID and During COVID



Ridership by Train Type

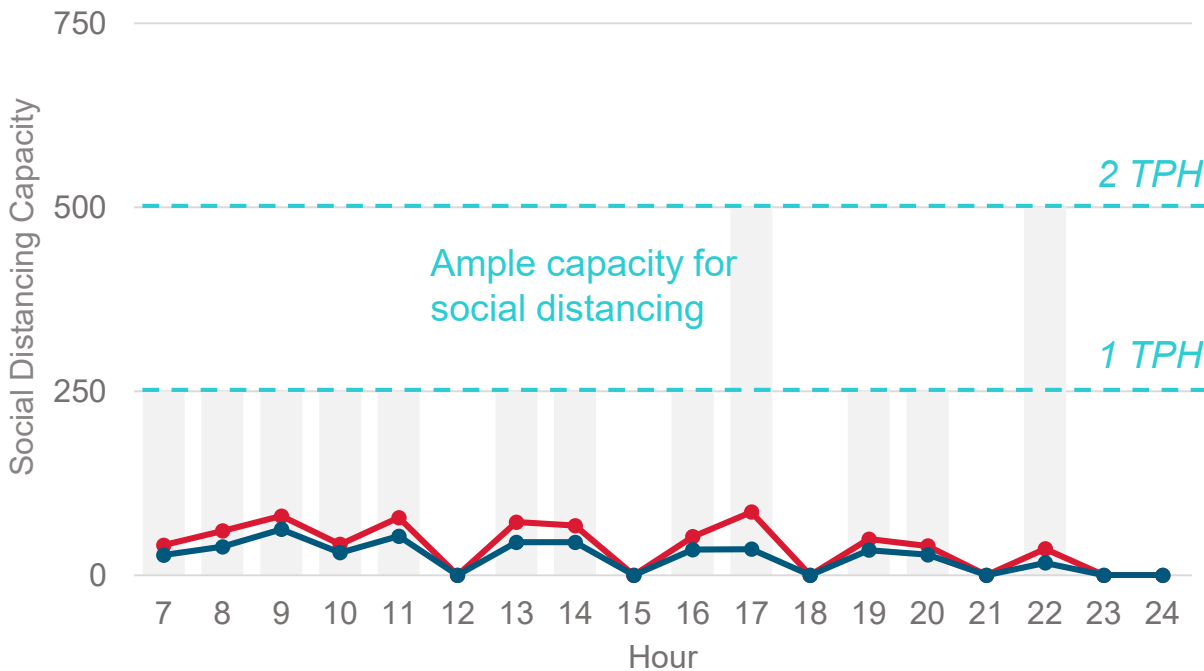
Service Type	2018 Riders per Train	Sept 2020 Riders per Train
Weekend Local	575	95
Weekend Bullet	542	79

Based on 2018 counts and September 2020 counts. Local comparison for service 8am-8pm.

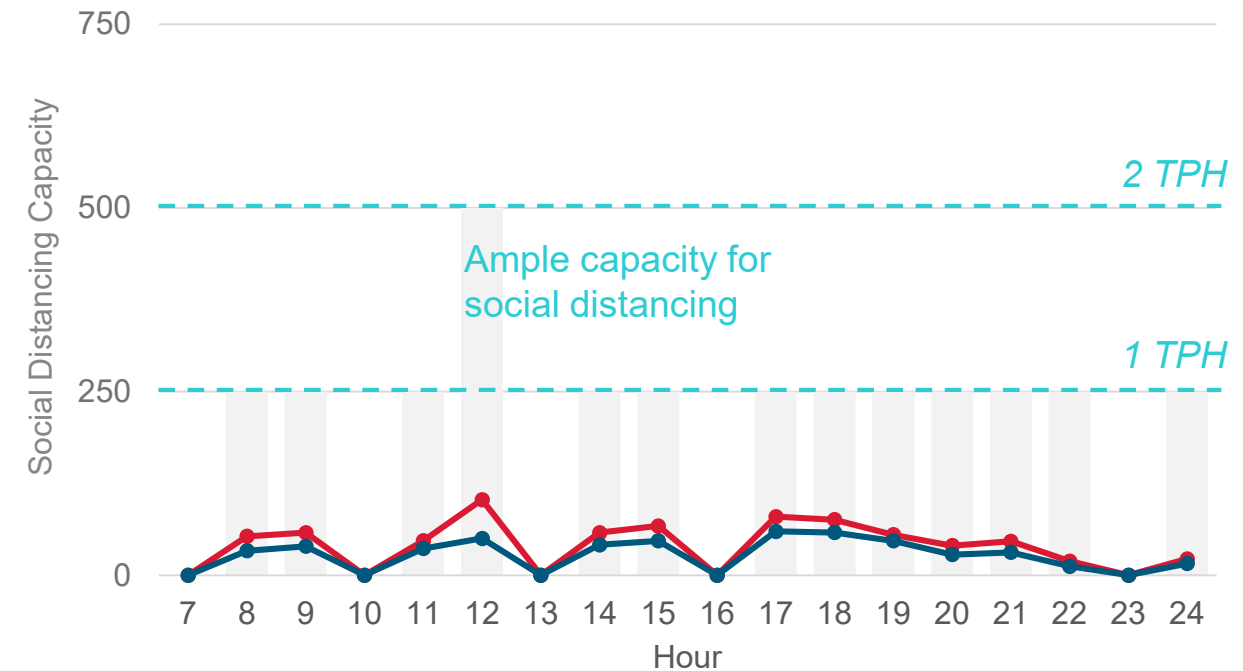
When are Riders Traveling on Weekends?

Average Weekday Ridership vs. Social Distancing Capacity

Northbound



Southbound



Social Distancing Capacity (6 Feet)
 Riders per Hour
 Estimated Max Load per Train



Based on September 2020 ridership and SF/SJ departure times

Base Service Plan

Recommended Base Service Plan
68 Trains/Weekday

	AM Peak	Midday	PM Peak	Evening
# of Trains	2	2	2	
	1	1	1	1

Weekend
Hourly Service All Day
(28-32 Trains/Day)

2 Trains per Hour, Per Direction – All Day

Caltrain would provide 2 trains per hour per direction in the peak- sufficient to meet demand. By expanding service to 2 trains through the midday period, Caltrain can better serve unmet needs of essential workers and lower income riders.

Hourly All-Day Weekend Service

Caltrain would increase weekend service to hourly frequencies to better serve weekend riders, especially essential workers and low-income riders.

Why Two Trains?

Caltrain has focused on maintaining at least two trains per hour during as many time periods as possible. Running at least two trains per hour, per direction provides several key benefits:



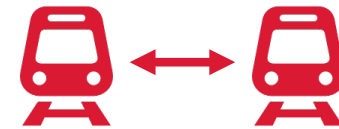
30 min frequency
at higher demand
stations



Reasonably
competitive
travel times



Coverage to
all stations



Timed connections
to every BART train
at Millbrae

A Framework For Service

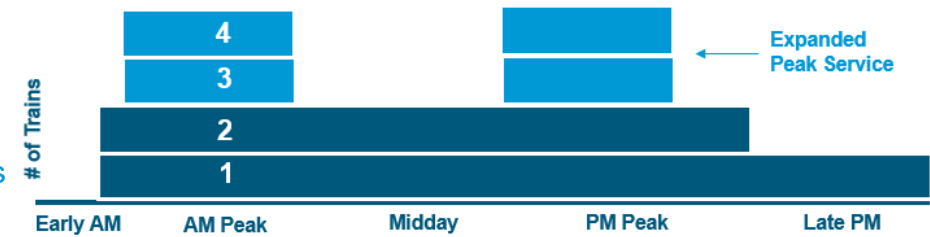
Ridership is not expected to fully recover in 2021. Depending on public health conditions and the railroad's finances, Caltrain may need to make further service adjustments including scaling service levels up or down to meet changing needs.

An Expanded Service Plan could restore service back to 92 trains per day.

An Austerity Service Plan could reduce service to as little as 44 trains per day and suspend weekend service.

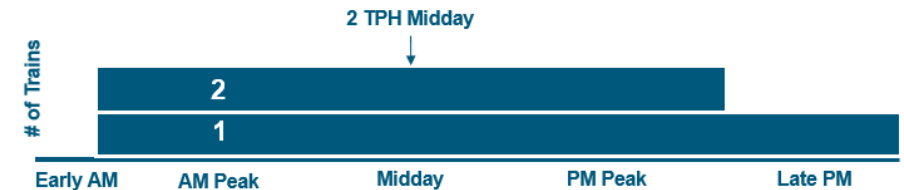
Expanded Service Plan

92 Weekday Trains
28-32 Weekend Trains



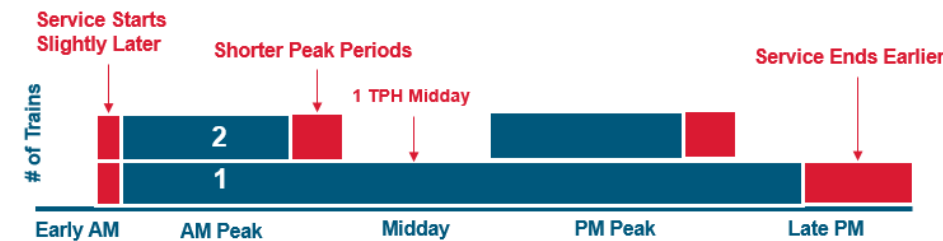
Base Service Plan

68 Weekday Trains
28-32 Weekend Trains



Austerity Service Plan

44 Weekday Trains
No Weekend Trains



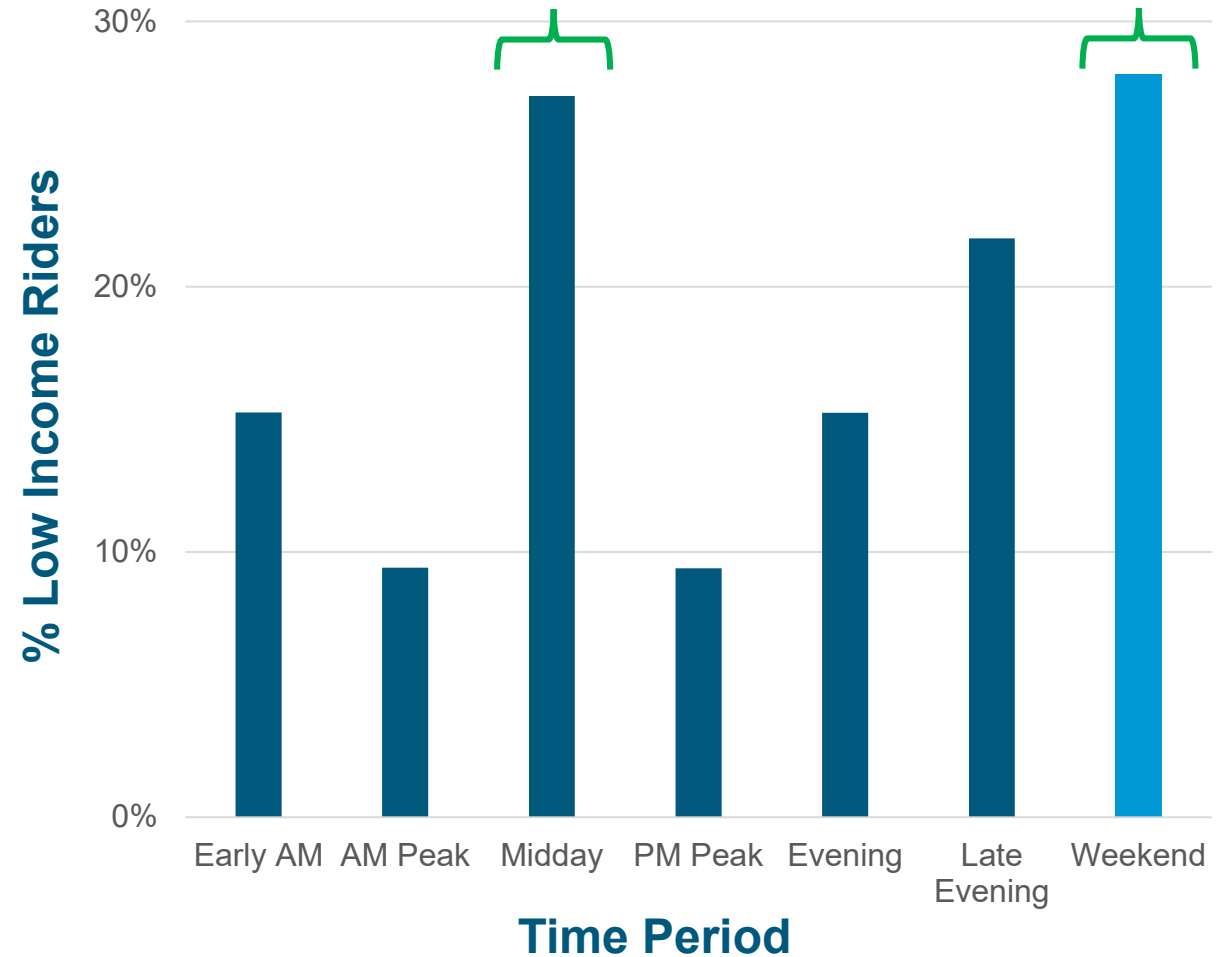
Equity Implications

The Base (and Expanded) service plans expands service in a manner that supports the observed travel patterns of low-income riders who rely on Caltrain and enacts key service components of the Equity, Connectivity Recovery & Growth framework.

- Service frequency would double during midday periods and passengers will no longer need to rely solely on local trains
- On weekends, service would increase to hourly (a 50% increase in frequencies)
- Service span is maintained

Low Income Ridership by Time Period

Significant increases in service proposed during midday and on weekends would benefit lower income riders



Source: 2019 Triennial Survey

Equity Implications

The Austerity Service Plan represents a minimum viable level of service for the railroad.

It would not provide equity benefits and cuts would impact low income riders.

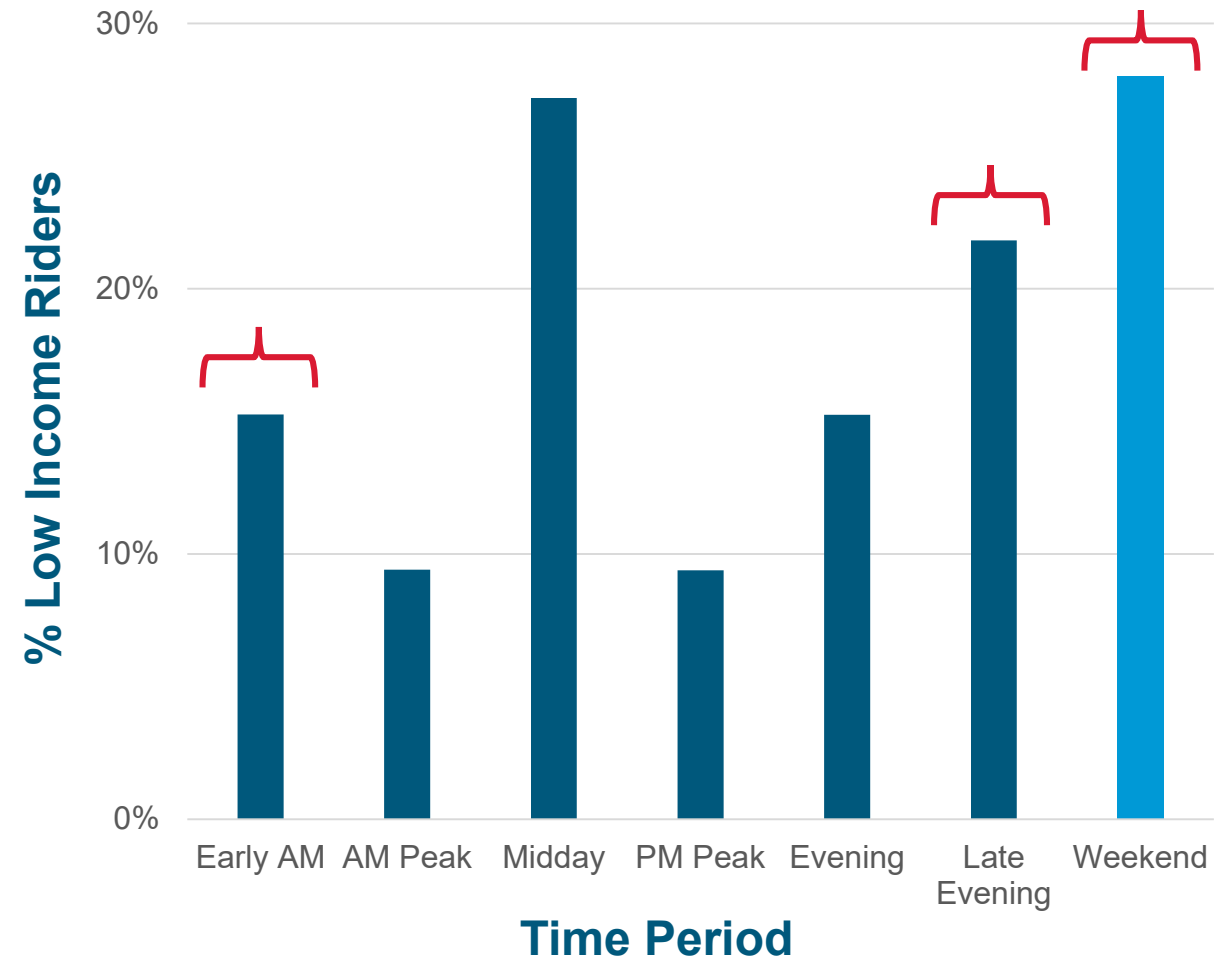
- Suspending early morning, late evening, and weekend services would substantially impact lower income riders
- Midday service would not be improved

The Austerity Plan is not recommended.

A potential intermediate level of service reduction (between the Austerity and Base plan) could look at initially cutting either weekday or weekend service.

Low Income Ridership by Time Period

Service cuts to early morning, late evening and weekend service would impact low income riders



Source: 2019 Triennial Survey

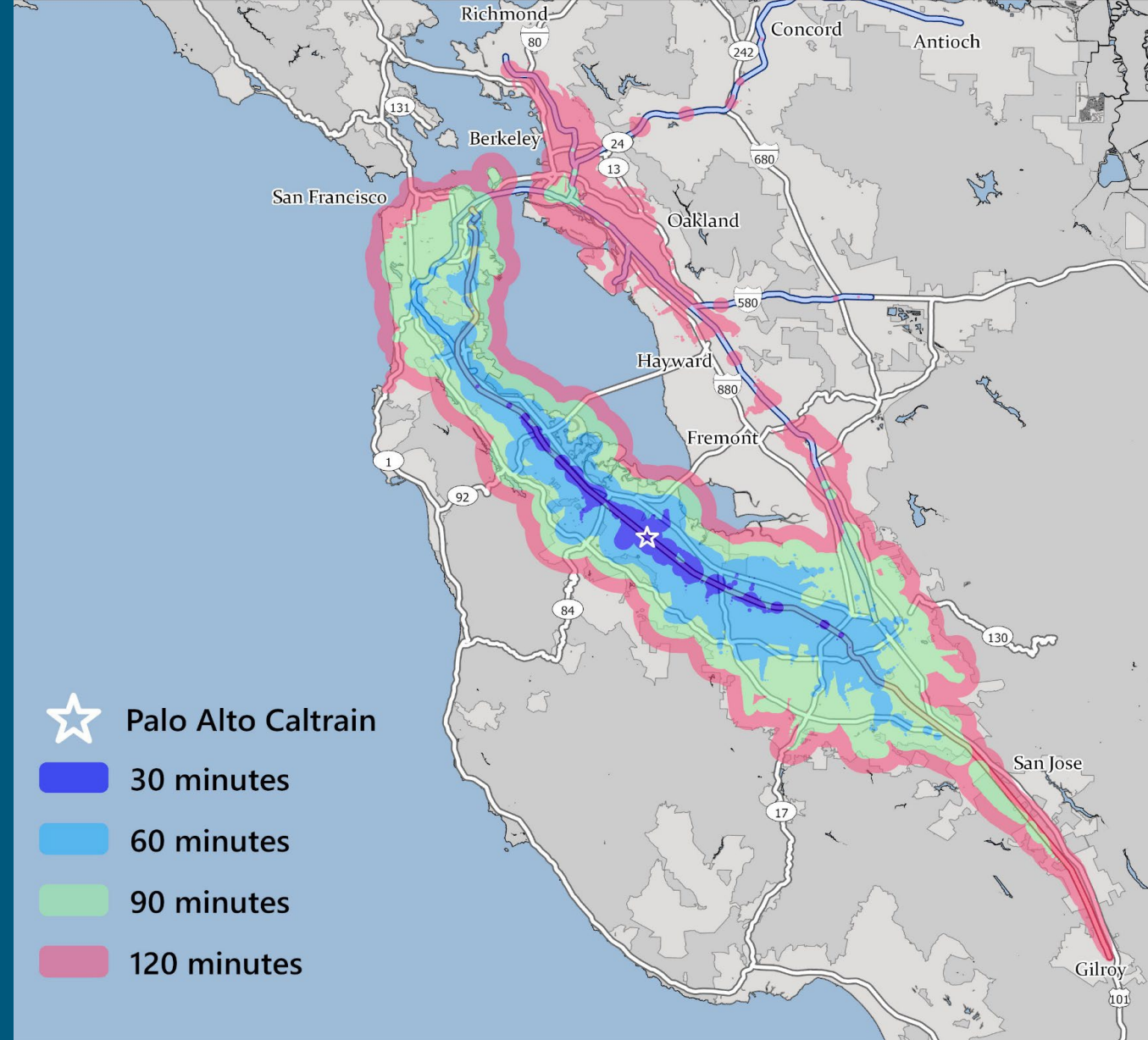
Shutdown Considerations

While the Austerity plan is not recommended and would have significant equity impacts, it remains a strongly preferred option relative to shutting down the railroad

The map at the right shows how far a person could travel by transit during a weekday peak-hour starting at the Palo Alto Caltrain station (currently the busiest station in the system).

This map assumes the 2 train per hour peak service included in both the Base Caltrain plan and austerity plan.

Regional Access by Transit from Palo Alto with Base 2tph Caltrain Service Plan



Shutdown Considerations

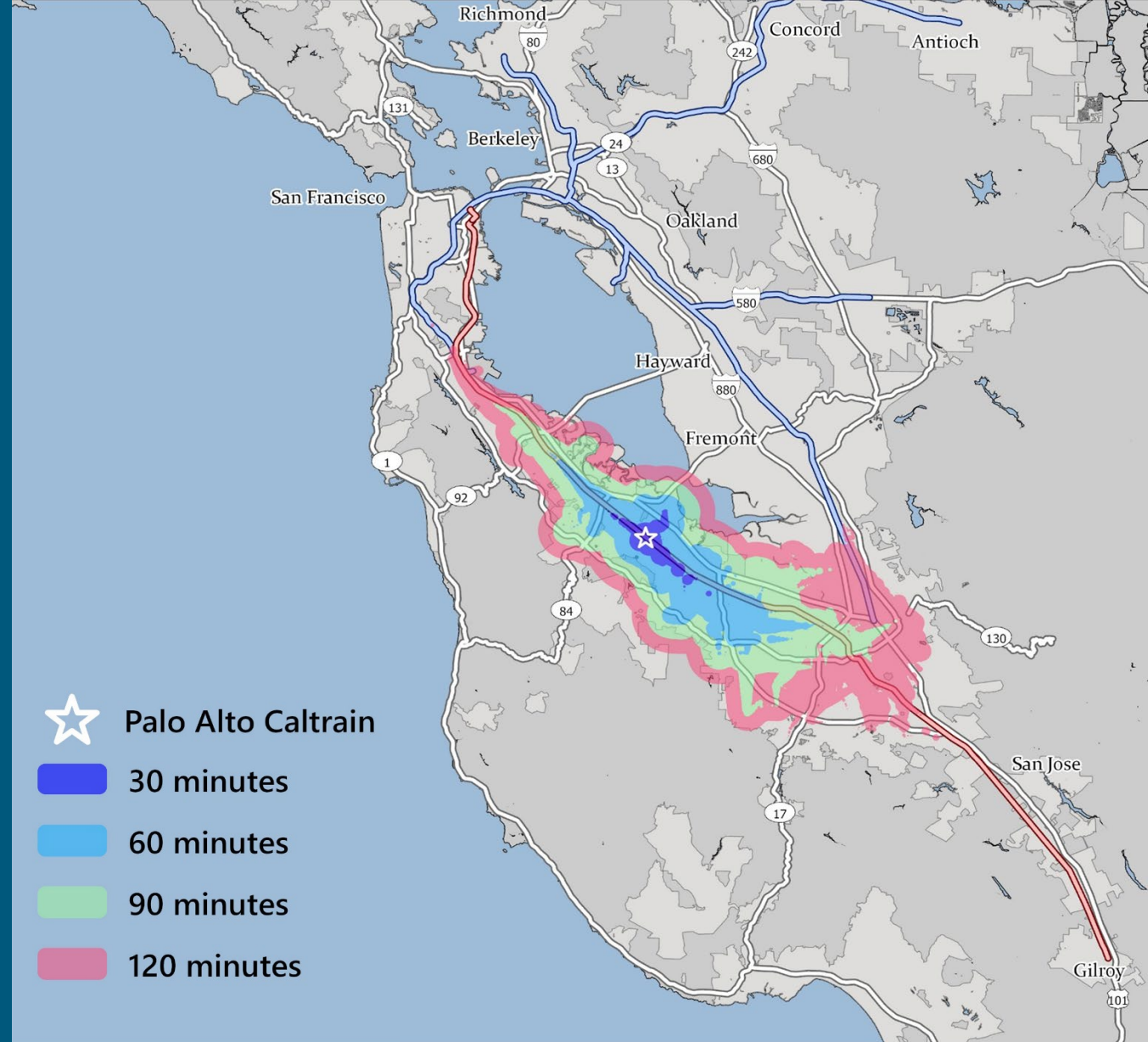
The map at the right shows how transit access for Palo Alto Station would change if Caltrain were shut down and passengers only had access to bus and connecting services. The table below quantifies the loss of access to bay area residents within a 60-minute travel shed.

60 Minute Travel Shed

People Served	Proposed Base Service Pattern	Service Shut Down	% Difference
Population	1,390,000	488,200	-65%
Jobs	955,100	294,000	-69%
Low-Income	280,500	84,400	-70%
Non-White	878,300	282,800	-68%
Car-Free	100,300	31,000	-69%

Demographic data from 2018 American Community Survey

Regional Access by Transit from Palo Alto with Caltrain Service Shut Down



- ☆ Palo Alto Caltrain
- 30 minutes
- 60 minutes
- 90 minutes
- 120 minutes

Service Details

Service Options

Operating two trains per hour per direction, Caltrain has two basic service options that fit the corridor:

Local/Express Pattern

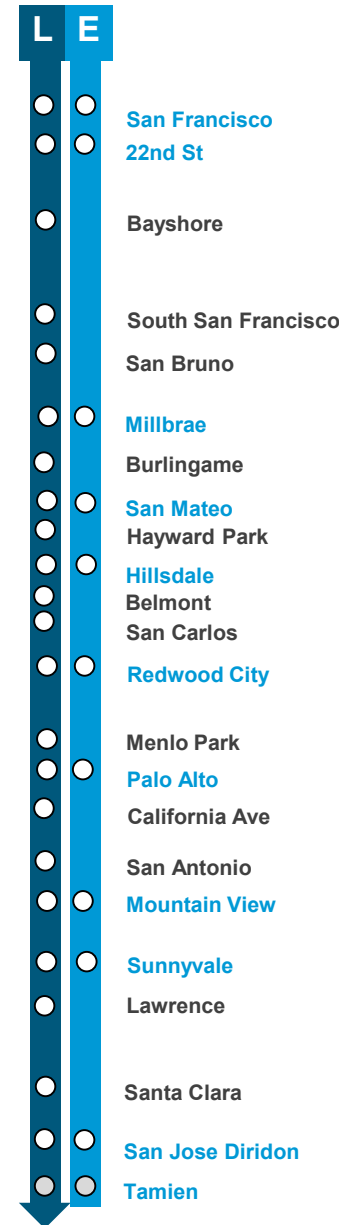
- One express train and one local train per hour
- 11 stations receive two stops per hour, *but headways vary between 10 and 50 mins*
- 2 roundtrips to Gilroy per day (Local)

Limited Pattern

- Two limited stop trains running at similar travel times in a skip-stop manner
- 11 stations receive two stops per hour *at even 30-minute headways*
- 2 roundtrips to Gilroy per day (one on each pattern)

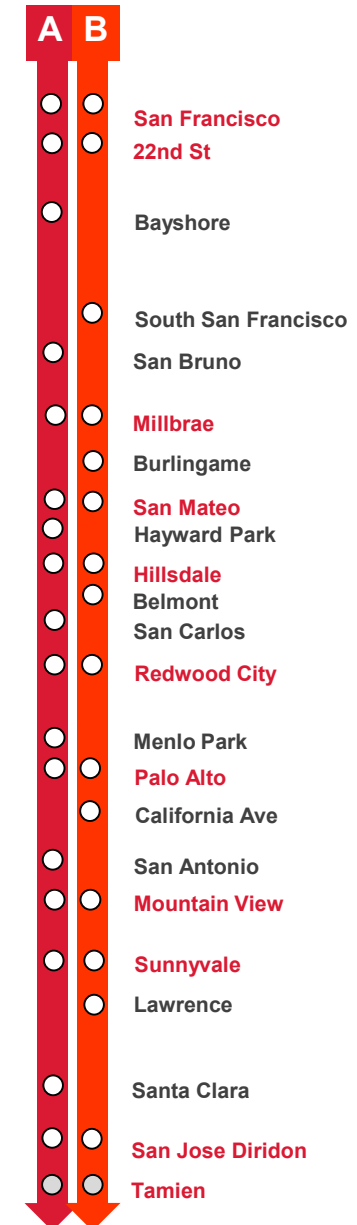
Stopping patterns shown are preliminary recommendations and subject to change

Local/Express



To Gilroy: 2x roundtrip per Day

Limited



To Gilroy: 2x roundtrip per Day



Travel Markets & Equity

Recommended stopping patterns were developed based on a number of factors including, historic ridership patterns, observed use of the system during the pandemic, and ECRG policy goals related to enhancing equity and connectivity.



**COVID-19
Ridership
Counts and
Surveys**



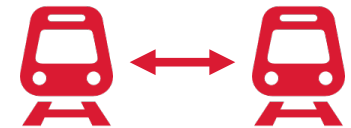
**2019
Ridership
& Triennial
Survey**



Equity



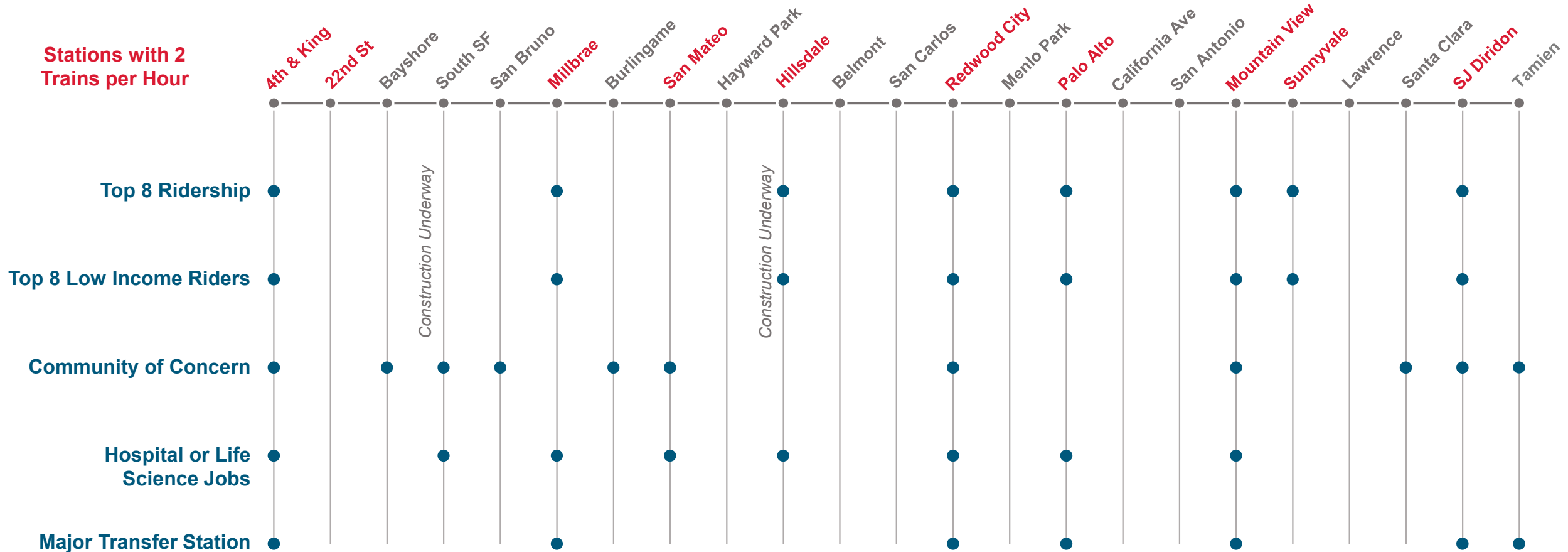
**Essential
Workers**



**Connectivity
to other transit
systems**

Travel Markets & Equity

Stopping patterns shown are preliminary recommendations and subject to change



Service Characteristics: Comparison

Similarities

Markets & Equity

Both provide 2 trains per hour throughout the day at stations serving high ridership volumes – especially those serving low income riders and essential workers

Both provide hourly service at all other stations and on weekends

Both provide 2 daily roundtrips to Gilroy

Differences

Intermodal Connectivity

Both provide timed transfers to BART at Millbrae Station

Both provide standardized, repeating schedules

Limited provides even headways and better opportunities for coordinated transfers at more stations

Local/Express connects all station pairs. Limited does not

Balancing Loads

Limited helps avoid crowding and enables social distancing by maintaining consistent 30-minute headways and balanced loads

Local/Express may result in imbalanced loads and bunched headways of up to 50 minutes

Competitive Travel Times

Limited provides moderately competitive travel times between stations

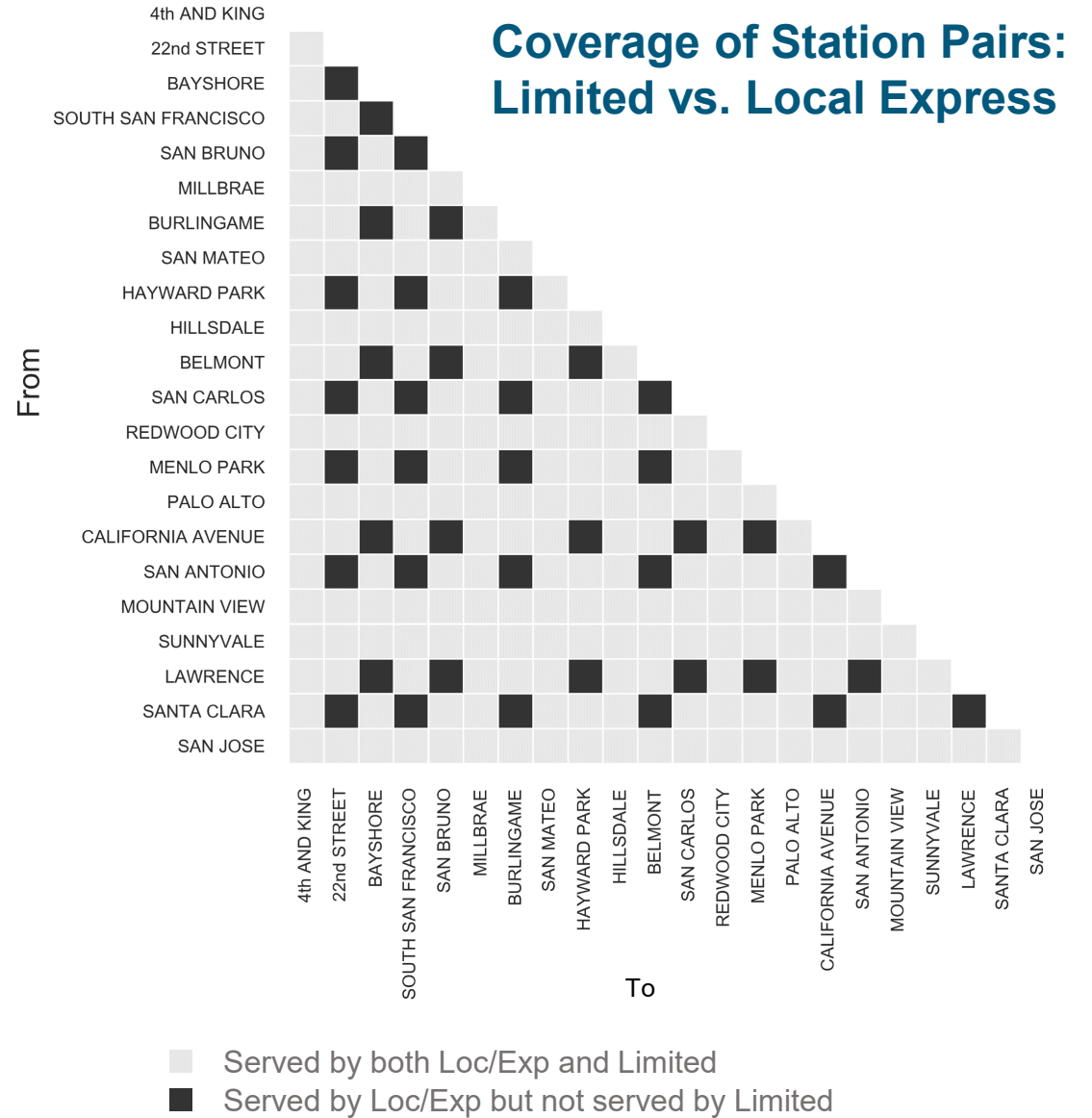
Local/Express provides fast travel times between major stations and slow travel times everywhere else

Coverage Comparison

Prior to COVID-19, Caltrain connected approximately 98% of station pairs, while 3% were not connected.

With the Limited service, 18% of station pairs would not be not connected. However, these station pairs account for less than 3% of pre-pandemic ridership.

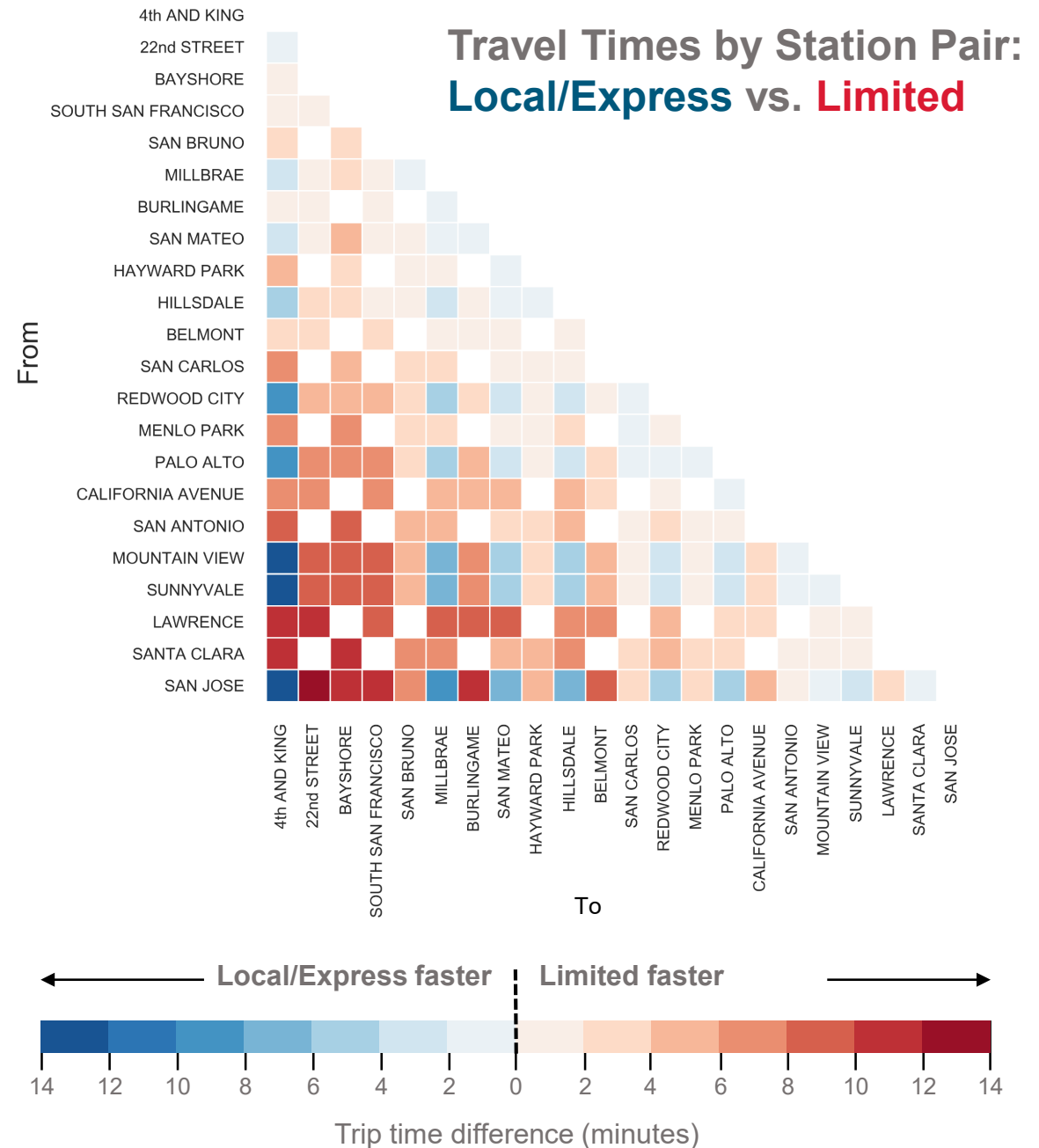
Local/Express would serve 100% of riders and station pairs.



Travel Time Comparison

Local/Express would be faster for trips between major stations, but stations with only local service would have slow travel times.

Limited trains would be faster for all other trips, including trips between minor stations and between minor and major stations.



Sample Travel Times

Travel times shown are preliminary and subject to change

Example Station Pair	Local/Express	Limited	Fastest Travel Time
Diridon-4 th & King	65 or 91	79	
Palo Alto-San Mateo	17 or 25	21	
Diridon-Palo Alto	23 or 32	27	
Menlo Park-Millbrae	29	25	
Lawrence-Millbrae	53	45	
San Carlos-4 th & King	45	38	
Palo Alto-4 th & King	41 or 58	50	
Lawrence-4 th & King	79	68	



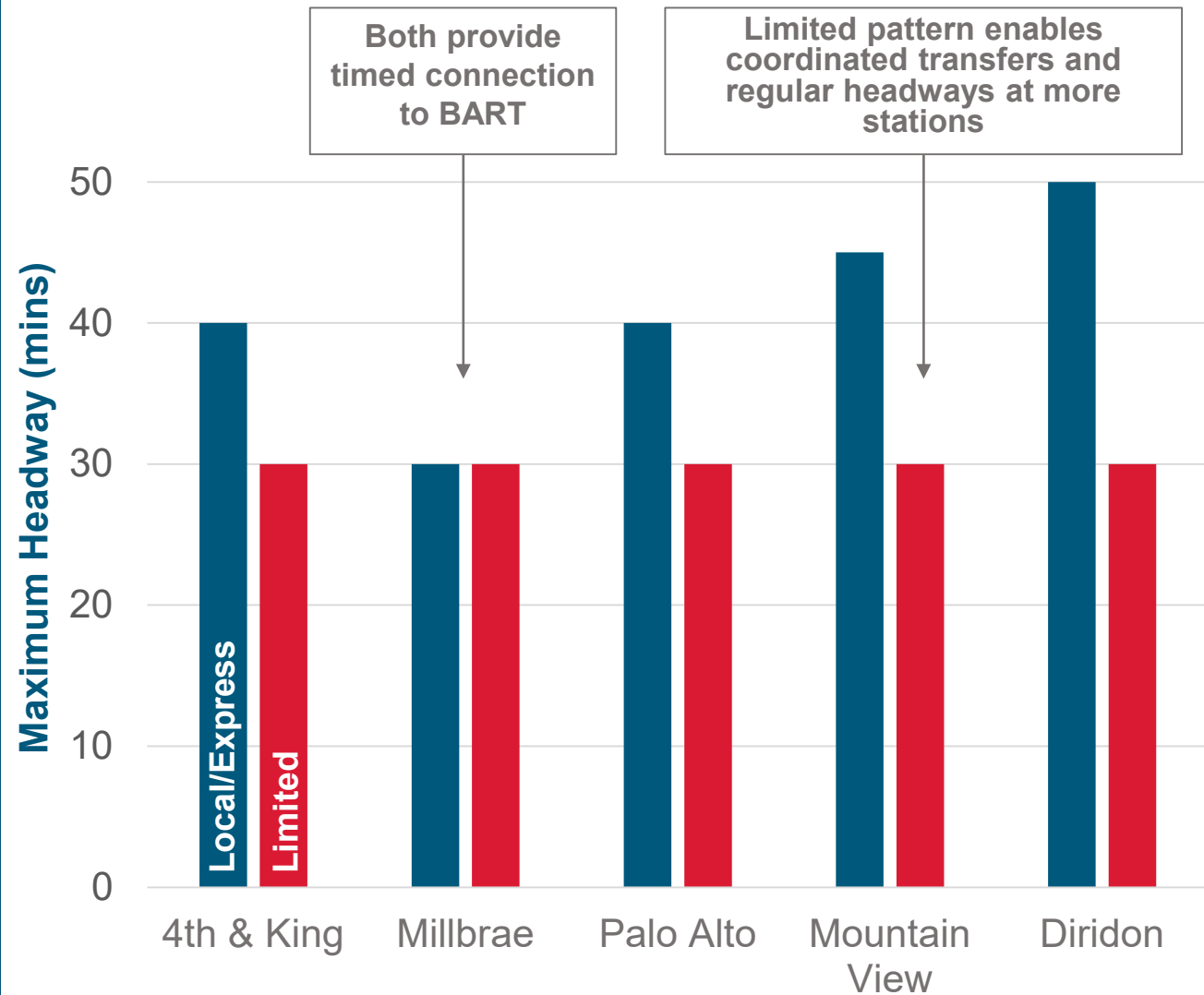
Headways & Connectivity

While both patterns provide two trains per hour, they differ in headways and potential for connectivity.

Both provide timed connections to BART, which will continue to operate every 30 minutes at Millbrae.

The Limited pattern provides 30 minute regular headways at all other stations receiving two trains per hour, enabling more easily coordinated transfers with other frequent transit services.

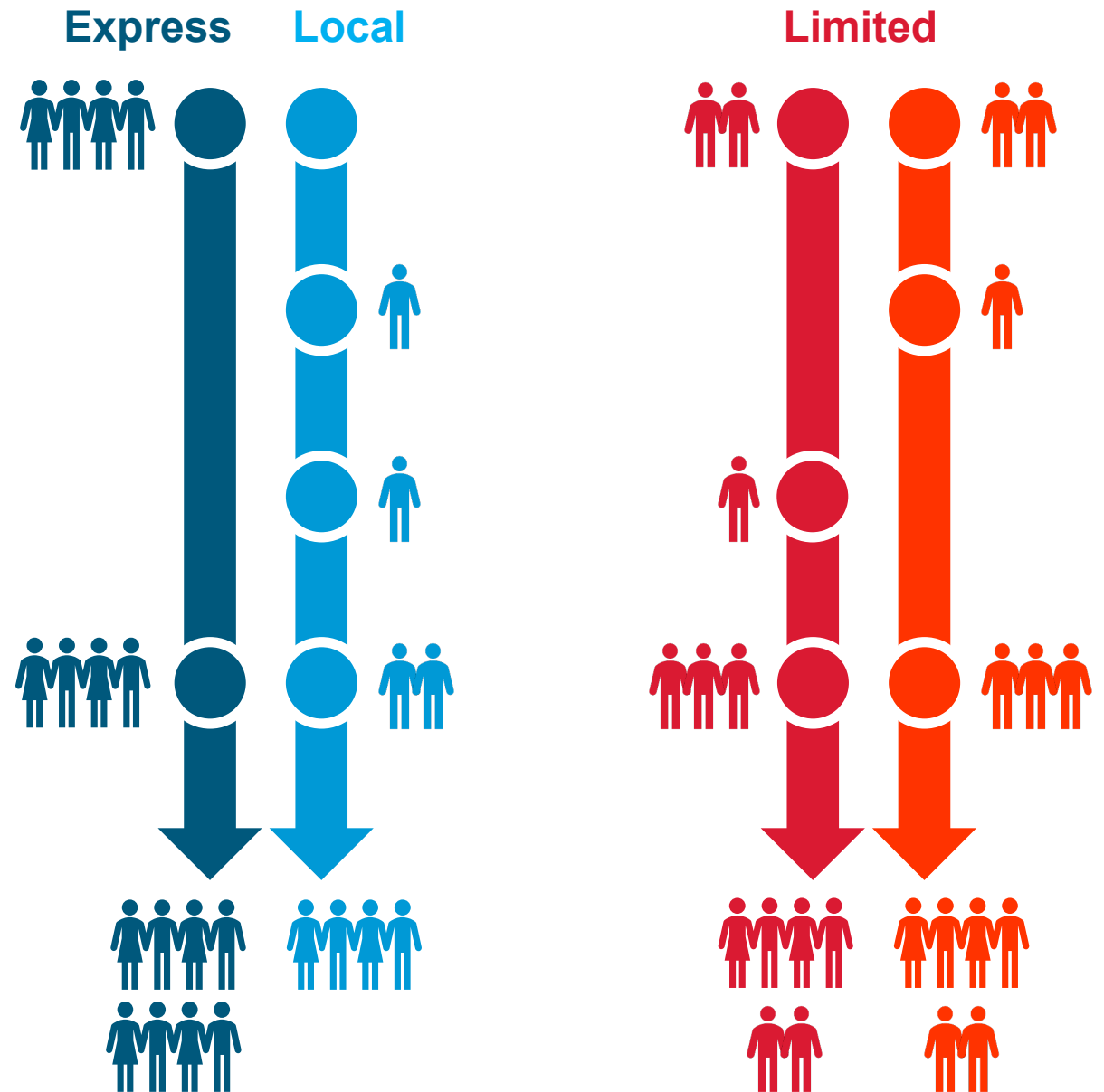
Local/Express provides variable headways of up to 50 minutes, which makes coordinating transfers more challenging.



Balancing Passenger Loads & Social Distancing

With Local/Express, bunched headways and differentiated travel times increase the likelihood of imbalanced passenger loads, which could make social distancing more challenging as ridership returns.

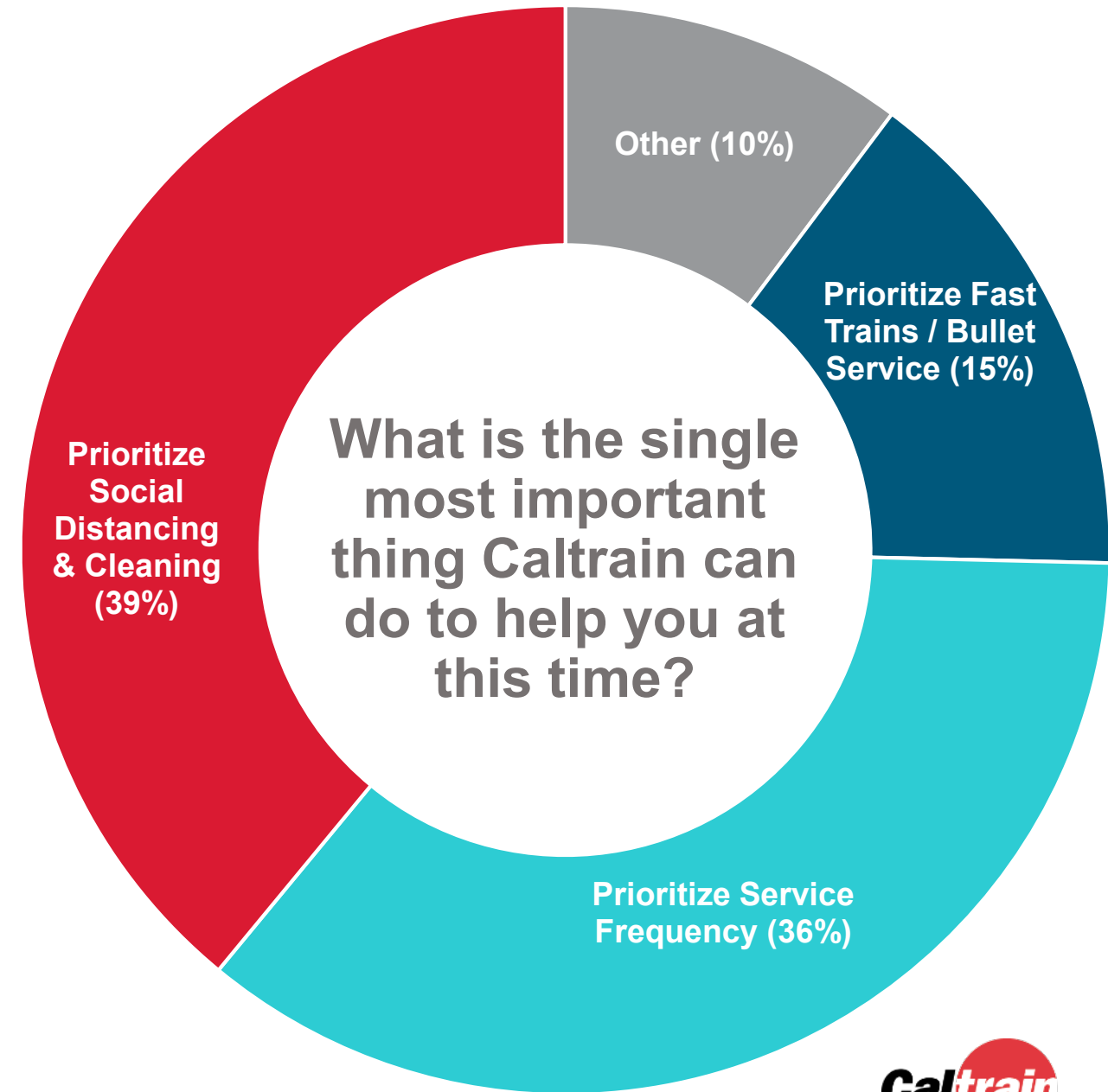
Skip Stop balances passenger loads by maintaining even headways and similar travel times.



Rider Perspectives

Rider feedback suggest space for social distancing and service frequency are higher priorities than providing faster service at this time.

This feedback suggests a Limited service would better meet the needs of riders.



Source: July 2020 Caltrain Rider Survey



Weekday Recommendation

Operate the Base Service Plan at 68 trains per day with 2 TPH throughout the day

- Serves peak ridership demand
- Responds to midday needs of low-income riders and essential workers by significantly improving midday service
- Provides framework for scaling up or down based on finances and demand

Operate two Limited patterns per hour

- Balances passenger loads to promote social distancing
- Provides regular headways and enables coordinated transfers
- Provides good travel times for all stations
- Provides two daily roundtrips to Gilroy (one trip on each pattern)

Weekend Recommendation

Provide Hourly Local Service to provide 28-32 trains per day (+4 trains over today)

- Better serves ridership demand and promotes social distancing
- Responds to needs of low-income riders and essential workers by increasing service frequency by 50%
- Regular hourly service better enables coordinated transfers with other transit providers
- Maintains construction windows

Suspend Weekend Bullet Service

- Weekend bullet service is scheduled around leisure trips, a market that has been weak during the pandemic. Observed ridership on weekend bullets has been substantially similar to local trains.
- Standardized hourly service benefits weekend riders who are traveling to work or medical appointments

Scaling Down: Austerity Plan

The Austerity service plan would not further equitable outcomes

Cutting service during off-peak periods, shortening peaks and service span, and suspending weekend service would have a disproportionate effect on low-income riders

Rebuilding ridership would be difficult

There is presently not a clear peak period to plan around - Caltrain may need to choose between serving earlier peaks for medical workers or later peaks for office workers

Austerity Plan is not recommended – and remains conceptual only at this time

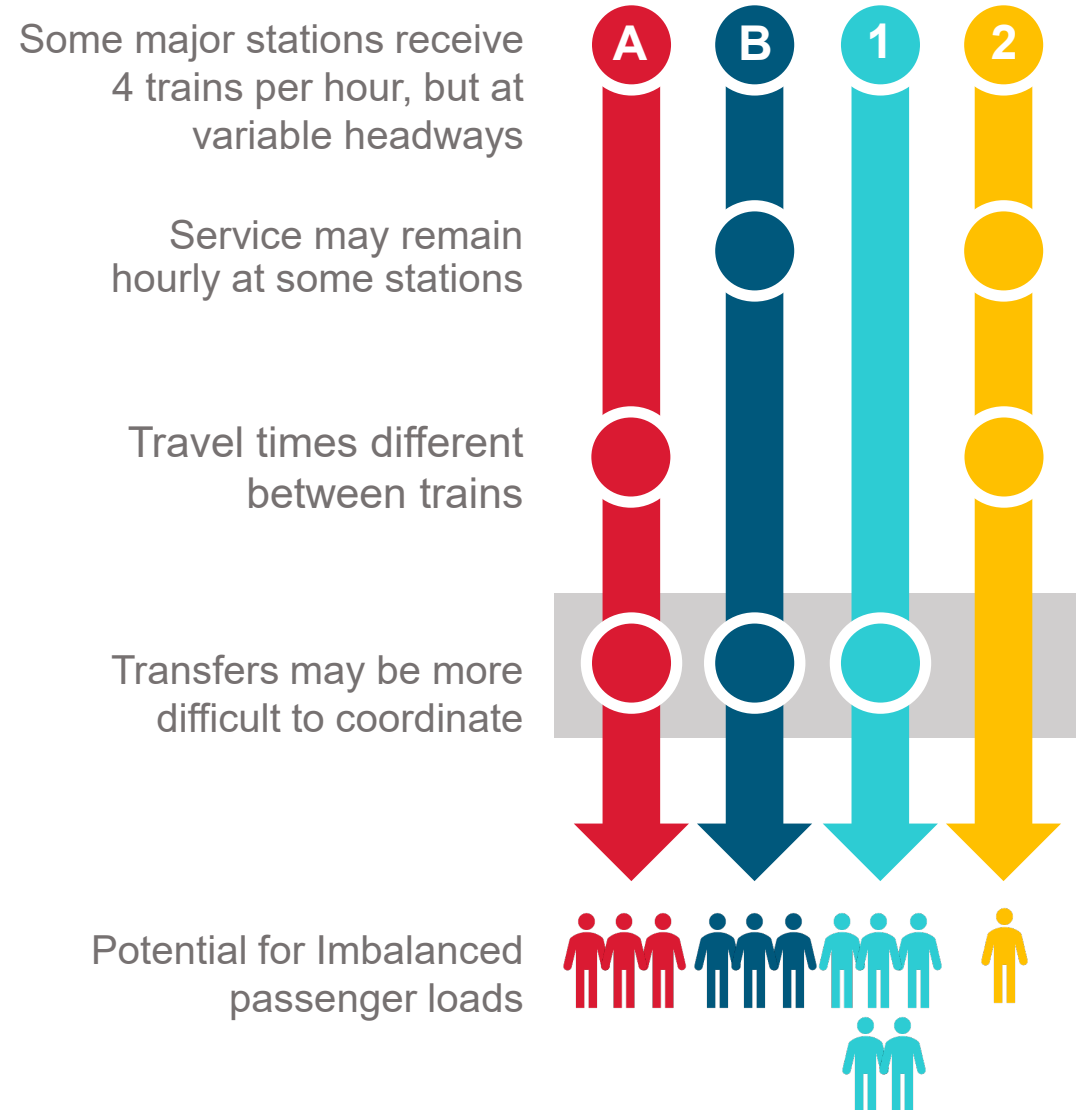
Scaling Up:

There are several options for how Caltrain could scale up service as finances allow and demand returns

Alternatively, Caltrain could reduce travel times by providing fewer stops and more variation in train types – either on added trains or within the service plan as a whole

- Stations could be served by one to four trains per hour at variable headways
- Travel times could decrease, especially between major stations
- Change would involve more significant disruption to schedules and would make aspects of coordination with other service providers more challenging

Example – Adding Service in a more customized pattern



Next Steps

Next Steps: Implementation & Monitoring

The outlined service approach is a staff recommendation based on available data and evidence

The pandemic has created a highly difficult and dynamic business environment for transit – further changes and adjustments will inevitably be needed

Monitoring rider reaction to the new service will be essential to determine what aspects are working well and what may need to change

Implementation

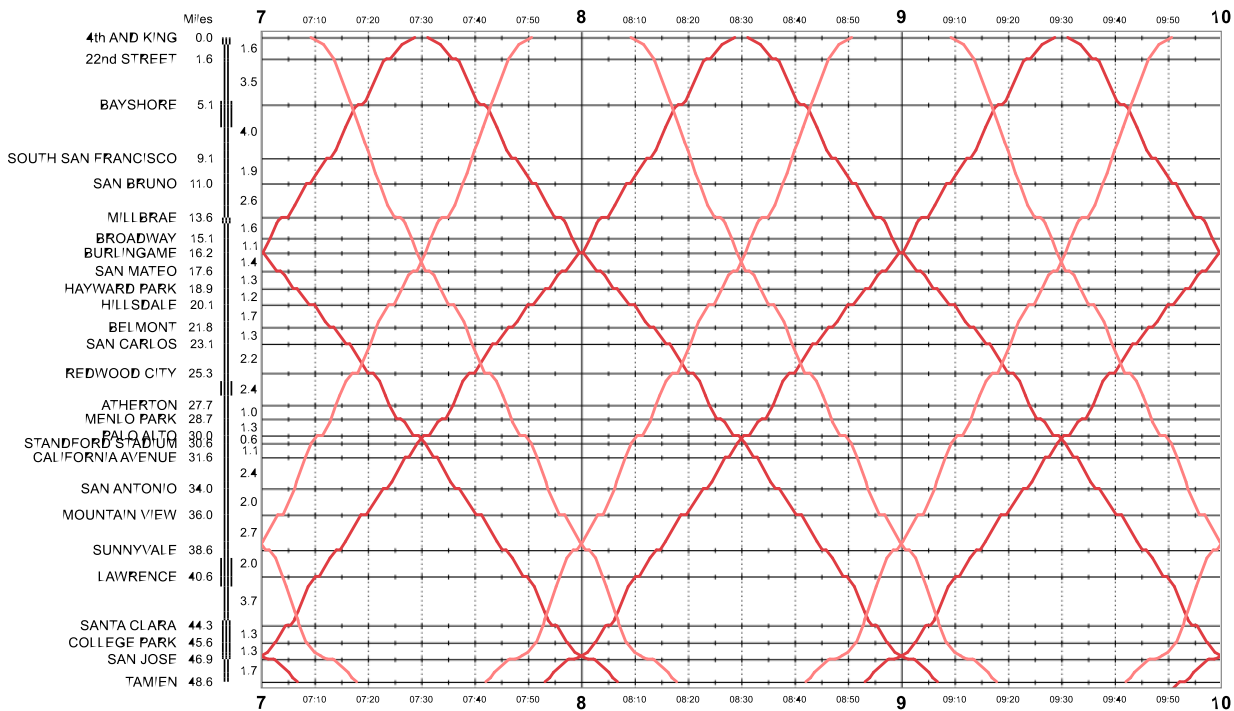
- Continue refinement of schedule and stopping patterns
- Complete financial analysis related to crewing and equipment utilization
- Coordinate with connecting and partner operators (BART, CCJPA, ACE, SFMTA, SamTrans and VTA)
- Solicit feedback from JPB, CAC and other stakeholder groups
- Confirm date for implementation (targeting mid-December)

Monitoring

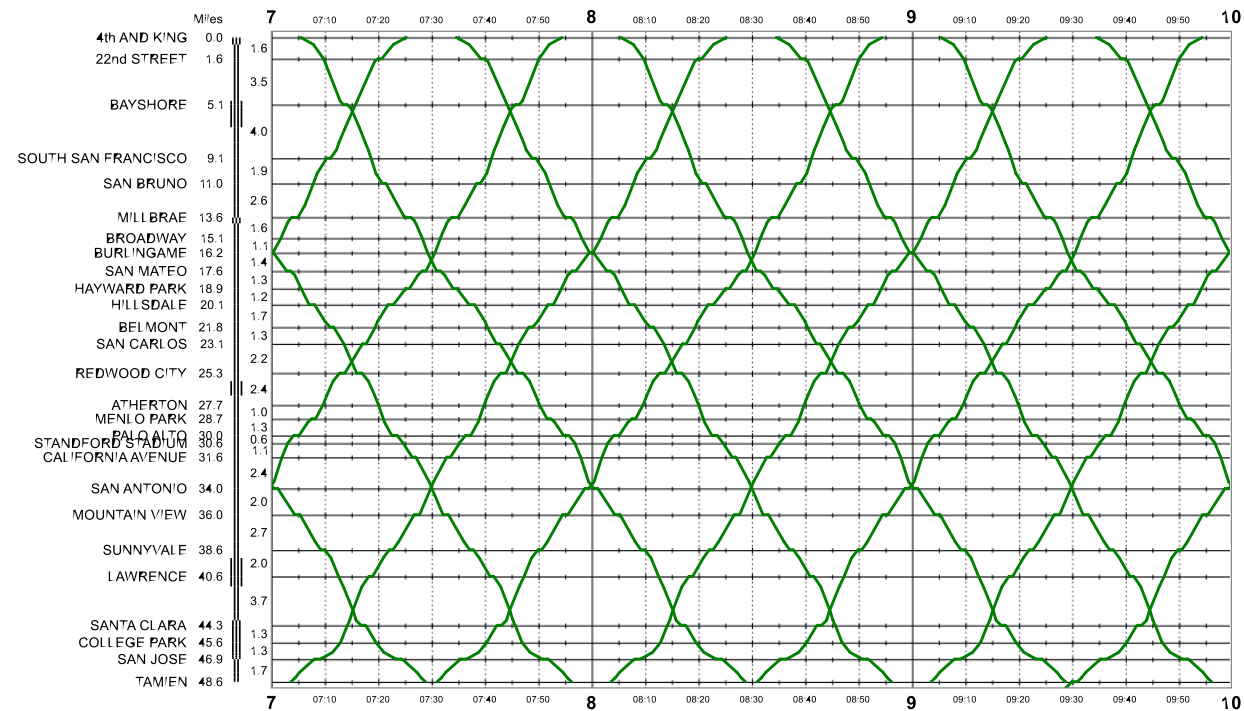
- Develop pre- and post-implementation counts and surveys
- Identify external measures that can be used to calibrate and contextualize ridership outcomes

Appendix: Stringline Charts

Local/Express



Limited



**PENINSULA CORRIDOR JOINT POWERS BOARD
STAFF REPORT**

TO: Joint Powers Board

THROUGH: Jim Hartnett
Executive Director

FROM: Seamus Murphy
Chief Communications Officer

SUBJECT: **RESOLUTION SUPPORTING AN ALTERNATIVE TO PLAN BAY AREA (PBA) 2050 STRATEGY EN7: "INSTITUTE TELECOMMUTING MANDATES FOR MAJOR OFFICE-BASED EMPLOYERS"**

ACTION

Staff Coordinating Council (SCC) recommends the Board:

1. Adopt a Resolution supporting a broadened Plan Bay Area 2050 Strategy EN7 to achieve greenhouse gas reduction requirements through a reduction of emissions-producing vehicle trips through a combination of strategies that include transit, active transportation, van/carpooling in addition to telecommuting.
2. Support working with the Metropolitan Transportation Commission (MTC) to advocate for policy change that allows for the crediting of zero emission vehicle strategies toward regional greenhouse gas emission reduction goals.

SIGNIFICANCE

On September 23, 2020, MTC voted to adopt MTC Resolution No.4437 and Association of Bay Area Governments (ABAG) Resolution No.16-20 Plan Bay Area 2050: Final Blueprint. The Final Blueprint, which is considered the "first draft" of Plan Bay Area 2050, lays out the transportation, housing, economic and environmental strategies that will be adopted as part of the overall Plan Bay Area 2050 later this year.

The Final Blueprint, as adopted, includes Strategy EN7: *Institute Telecommuting Mandates for Major Office-Based Employers*, which proposes to build upon the significant shift to work-from-home practices that have taken place during COVID-19 and would mandate that at least 60 percent of employees from large employers telecommute.

The telework strategy does not account for workers that utilize transit or active transportation options for their commutes.

The strategy aims to allow Plan Bay Area to meet specified greenhouse gas emissions reduction targets.

Implementation of the strategy would require passage of authorizing legislation.

In response to opposition to a blanket 60 percent telework requirement, MTC staff committed to work to revise the proposal before the final Plan is considered.

BACKGROUND

The Peninsula Corridor Joint Powers Board (JPB) remains in support of Plan Bay Area 2050's Guiding Principles to ensure a more affordable, connected, diverse, healthy and vibrant Bay Area. In addition, the JPB strongly embraces and shares the traffic congestion and greenhouse gas reduction goals that this strategy is meant to achieve.

However, the strategy as included in the Final Blueprint does not provide flexibility for impacted employers and their employees to choose transit or active transportation as an alternative to telecommuting.

The resolution urges MTC to work with regional transit operators to explore strategies that achieve the same outcomes, but leave flexibility for employees to choose transit and active transportation as an alternative.

Congestion relief has been a remarkable side effect of a pandemic that has otherwise wreaked havoc on the region's economy, public health, social services, and overall quality of life. The JPB has approved an Equity Framework that will help address the fact that these impacts have been borne most heavily by the region's transit dependent populations and communities of color. As we prepare for eventual restoration of transit ridership in 2021, the strategies that will be most effective in preserving this benefit will be those that incentivize, encourage, and mandate a combination of new commute alternatives that include both telework and focused attention on public transportation mode share.

Unfortunately, the strategy as adopted by MTC does not acknowledge the critical role that public transit must play in the new reality that the region is currently experiencing and the key part it will have in our full economic recovery.

Prepared By: Amy C. Linehan, Public Affairs
Specialist

650-418-0095

RESOLUTION NO. 2020-

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

* * *

**PENINSULA CORRIDOR JOINT POWERS BOARD (JPB) SUPPORTS AN ALTERNATIVE TO PLAN
BAY AREA (PBA) 2050 STRATEGY EN7: "INSTITUTE TELECOMMUTING MANDATES FOR
MAJOR OFFICE-BASED EMPLOYERS"**

WHEREAS, the Metropolitan Transportation Commission (MTC), as the federally-designated Metropolitan Planning Organization for the nine-county Bay Area (the Region), is required to develop, in conjunction with the Association of Bay Area Governments (ABAG), a regional plan every four years in order to satisfy federal and state planning requirements; and

WHEREAS, MTC and ABAG are currently undertaking the process to develop and adopt the 2021 update to the plan, entitled Plan Bay Area 2050; and

WHEREAS, MTC is required by state law to include in this regional plan achievable strategies and investments to meet the Region's greenhouse gas (GHG) emissions targets; and

WHEREAS, the JPB and the Bay Area transit operators strongly believe that MTC (and the Region) should continue to strive towards achieving our share of the state's GHG emission reduction targets; and

WHEREAS, on September 23, 2020, MTC voted to adopt MTC Resolution No.4437 and ABAG Resolution No.16-20 Plan Bay Area (PBA) 2050: Final Blueprint; and

WHEREAS, the Plan Bay Area 2050 Final Blueprint includes Strategy EN7: Institute Telecommuting Mandates for Major Office-Based Employers, which proposes to

mandate that large employers have at least 60 percent of their employees telecommute on any given workday; and

WHEREAS, the Final Blueprint indicates that the inclusion of Strategy EN7 is necessary to achieve the required GHG emission targets, and Strategy EN7 includes as a primary objective the reduction of GHG emissions; and

WHEREAS, Strategy EN7 does not differentiate between the types of trips the strategy aims to reduce as a result of its proposed telecommute mandate, resulting in the reduction of both trips that contribute to regional GHG emissions, such as drive-alone, and trips that would be taken by zero-emission or low-emission modes, such as walking, cycling, and transit; and

WHEREAS, though the COVID-19 pandemic and subsequent Shelter-in-Place orders necessitated that employers and employees quickly transition to telecommuting where possible, the economic, equity, social, and health impacts of large amounts of telecommuting have yet to be fully understood; and

WHEREAS, congestion relief has been a remarkable side effect of a pandemic that has otherwise wreaked havoc on the region's economy, public health, social services, and overall quality of life. The JPB has approved an Equity Framework that will help address the fact that these impacts have been borne most heavily by the region's transit dependent populations and communities of color; and

WHEREAS, a higher number of front-line workers are minorities and the pandemic has further revealed how regional economic disparity makes it possible for higher income workers to telecommute, while many low-income households lack the facilities to enable them to conveniently work from home, or they disproportionately are required to be on-site; and

WHEREAS, sustainable reduction in GHG emissions in the Region requires fidelity to Plan Bay Area's goals to direct growth in population and employment to areas served by fast, frequent, and reliable transit; and

WHEREAS, the shift to telecommuting as a result of the COVID-19 pandemic response has resulted in significant ridership declines and budget shortfalls at all transit operators in the Region, necessitating the reduction of service frequency, capacity, hours, and coverage; and

WHEREAS, the JPB relies heavily on farebox revenue to fund its operations.

THEREFORE, BE IT RESOLVED, that the Board of Directors of the Peninsula Corridor Joint Powers Board (Board) hereby supports a broadened Plan Bay Area 2050 Strategy EN7 to achieve greenhouse gas reduction requirements through a reduction of emissions-producing vehicle trips through a combination of strategies that include transit, active transportation, van/carpooling in addition to telecommuting. The Board also supports working with MTC to advocate for policy change that allows for the crediting of zero emission vehicle strategies toward regional greenhouse gas emission reduction goals; and

BE IT FURTHER RESOLVED, that the Board reiterates its support for the Plan Bay Area 2050 Guiding Principles to ensure a more affordable, connected, diverse, healthy, and vibrant Bay Area, including the importance of strategies and investments designed to meet the Region's GHG reduction targets.

Regularly passed and adopted this 5th day of November, 2020 by the following vote:

AYES:

NOES:

ABSENT:

Chair, Peninsula Corridor Joint Powers Board

ATTEST:

JPB Secretary