



2019 PROPOSITION K  
5-YEAR PRIORITIZATION PROGRAM

## TRANSIT SYSTEM MAINTENANCE AND RENOVATION

### GUIDEWAYS - Caltrain

Pending Board Approval: November 27, 2018

Prepared for the San Francisco County Transportation Authority

By Peninsula Corridor Joint Powers Board (PCJPB or Caltrain)



SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY

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## Eligibility

Eligibility as identified in the voter approved Prop K Expenditure Plan is as follows:

“Rehabilitation, upgrades and/or replacement of rail, overhead trolley wires, signals, and automatic train control systems. The intent is to implement TPS standard whenever rehabilitation, upgrade or replacement projects of light rail lines are undertaken. Seismic retrofit and improvements to emergency lighting and ventilation. (PRIORITY 1). The first \$306.7M is Priority 1 and the remainder is Priority 2. Total Funding: \$1,563.2M; Prop K: \$348.3M. Includes project development and capital costs. Sponsoring Agencies: MUNI, BART, PCJPB. The following minimum amounts will be available for MUNI (\$278.6M), BART (\$7.M), and PCJPB (\$27.9M).”

The San Francisco Municipal Transportation Agency (SFMTA) operates the San Francisco Municipal Railway (MUNI). BART stands for the Bay Area Rapid District and PCJPB stands for the Peninsula Corridor Joint Powers, also known as Caltrain.

## Prioritization Criteria

One of the key required elements of the 5YPPs is a transparent process for how projects get selected. Prop K requires at a minimum that each category include prioritization criteria that address project readiness, community support, and relative level of need or urgency. For the 2014 5YPP update, the Citizens Advisory Committee requested that the Transportation Authority and project sponsors develop a user-friendly, transparent scoring table that could apply to all 5YPPs, and that the scoring prioritize safety and community input highly. For the 2019 5YPP update, we have not made any changes to the Prioritization Criteria and Scoring Table for this category.

Table 3 shows the Prioritization Criteria and Scoring Table. PCJPB evaluates each project based on a number of factors, including but not limited to whether the project is legally mandated, meets the goals and objectives of the Caltrain Modernization Program, is a state of good repair project, an improvement to existing service, or an expansion project intended to increase service levels. Though the attached prioritization criteria are used to evaluate projects, it is important to note that selection of projects for inclusion in the Capital Improvement Program (CIP) is an iterative process, as it involves the assessment of a number of competing factors, including constructability, project readiness, and funding constraints.

Every year PCJPB staff review and rank proposed projects for the annual capital budget, which is subject to extensive review, discussion, and negotiation by the three Joint Powers Board members (San Francisco, San Mateo, and Santa Clara). Because the capital budget is subject to annual negotiations, the proposed Prop K five year project list is all placeholders (i.e. projects TBD).

The Expenditure Plan also requires consideration of geographic equity in terms of project distribution that takes into account the various needs of San Francisco's neighborhoods. The geographic area where PCJPB may propose Prop K capital projects is limited to the areas on or around its fixed guideways system, which runs north/south in Districts 6 and 10 and includes San Francisco stations at 4<sup>th</sup> and Townsend Streets, 22<sup>nd</sup> Street, and Bayshore. PCJPB takes into account geographic equity within its larger program of projects, which includes the entire Caltrain network and all fund sources and not just Prop K. However, most of the projects that Prop K funds benefit the entire system.

### Stretching Your Prop K Sales Tax Dollars Farther

Leveraging Prop K funds against non-Prop K fund sources (e.g., federal, state, other local funds) is necessary to fully fund the Expenditure Plan projects and programs. For the Guideways - PCJPB category, the Prop K Expenditure Plan assumes that every \$1 of sales tax revenue spent would leverage about \$3 in non-Prop K funds. The table below compares Prop K Expenditure Plan assumptions with proposed leveraging in the 2019 5-year project lists.

**Table 1. Prop K Leveraging<sup>1</sup>**

Category	Expected Leveraging (Non-Prop K Funds)	Proposed Leveraging (Non-Prop K Funds)
Guideways	78%	TBD

<sup>1</sup>This table compares the expected leveraging assumed in the Expenditure Plan with the proposed leveraging assumed in the 5-Year Project List.

As noted above, every year PCJPB staff review and rank proposed projects for the annual capital budget. Each fiscal year has local match placeholder funds (i.e. TBD projects) to allow the PCJPB partners to negotiate for specific projects within those years. Typically

Prop K funds are very well leveraged in the Caltrain categories as Prop K funds are matched by member contributions and federal, state, and regional funds.

### 2019 5YPP Highlights

With approval of Prop K in 2003, each year Prop K has funded the annual San Francisco member share contribution to Caltrain's capital budget, relieving the City and County of San Francisco (CCSF) and in particular the SFMTA of this obligation. Member share contributions have historically been negotiated on an annual basis among the three member agencies which fund and govern the PCJPB – CCSF, San Mateo County Transit District (SamTrans) and Santa Clara Valley Transportation Authority (VTA). To meet San Francisco's annual obligation, we have advanced Prop K funds from the outyears of the Expenditure Plan period in the four Caltrain state of good repair categories, including the Capital Improvement Program category and Caltrain's share of the Vehicles, Facilities, and Guideways categories. Caltrain Electrification is a separate line item in the Prop K Expenditure Plan.

In the 2019 5YPP update, we are expecting Prop K funds to run out in three of the four Caltrain state of good repair categories in Fiscal Year 2020/21, the exception being the Guideways category which will have \$500,000 programmed in Fiscal Year 2021/22. This will require the CCSF, working with SFMTA and the Transportation Authority, to identify and secure another funding source to cover San Francisco's local member contribution to Caltrain's capital budget. Additional Prop K funds from the discretionary shares of the Facilities and Guideways categories (available to Muni and BART as well as Caltrain) may be available to fund approximately one additional year of San Francisco's share of Caltrain's capital budget should the Transportation Authority prioritize the funds in this way.

### Performance Measures

Prop K requires the establishment of performance measures for each programmatic category in the Expenditure Plan. The intent is to demonstrate the system performance benefits of sales tax projects (e.g. reduced transit travel time), to ensure funds are being used cost effectively, and to inform allocation of Prop K funds and programming and prioritization of other funds by the Transportation Authority (e.g. Transportation Fund for Clean Air, Prop AA Vehicle Registration Fee funds).

The goal in programming guideway projects is to ensure that infrastructure replacements occur when major components reach the end of their useful life. This ensures that operational failures are minimized that could result from either deteriorated running rail or overhead wire, as examples.

The performance measure that will be applied to implemented Guideways projects is whether each guideway system is replaced within lifecycle standards.

**Table 2. Project Delivery Snapshot  
Guideways - PCJPB (EP 22P)**

5-Year Prioritization Program (5YPP) Period *	Programmed (Available for Allocation)	Allocated (as of July 2018)	% Allocated
2005 5YPP (FY 2004/05-2008/09)	\$ 3,797,845	\$ 2,548,704	67%
2009 5YPP (FY 2009/10-2013/14)	\$ 9,663,019	\$ 9,663,019	100%
2014 5YPP (FY 2014/15 - 2018/19) as of 7/24/2018	\$ 7,144,334	\$ 5,288,958	74%
<b>Total</b>		\$ 17,500,681	

\*Unallocated funds are carried forward for programming in the following 5YPP period.

Table below shows percent complete as reported by project sponsors in July 2018

**Completed Projects/Project Phases** (sorted by allocation year, then sponsor, then project name)

Sponsor	Fiscal Year of Allocation	Project Name	Phase(s) Funded	Allocated (as of July 2018)	% Complete
PCJPB	2004/05	5-Year Prioritization Program - Guideways (PCJPB portion)	Planning	\$ 6,013	100%
PCJPB	2004/05	Caltrain: Guideways	Construction	\$ 383,919	100%
PCJPB	2005/06	Bridge Rehabilitation	Design, Construction	\$ 417,259	100%
PCJPB	2005/06	Signal Rehabilitation	Construction	\$ 127,440	100%
PCJPB	2005/06	Track Rehabilitation & Update of Infrastructure Standards	Planning	\$ 318,618	100%
PCJPB	2006/07	ATCS Microwave	Construction	\$ 105,500	100%
PCJPB	2006/07	San Mateo Bridge Rehab Program	Design, Construction	\$ 261,404	100%
PCJPB	2006/07	Systemwide Track Rehab Program	Design	\$ 44,404	100%
PCJPB	2007/08	San Mateo Bridge Rehab, Grade Modification, and Track Improvement Program	Design	\$ 266,667	100%
PCJPB	2007/08	Signal System Rehab: Air Switch/Pneumatic System @ CP 4th	Construction	\$ 28,333	100%
PCJPB	2008/09	Bridge Replacement and Rehabilitation Program	Design, Construction	\$ 148,333	100%
PCJPB	2008/09	Railroad Signal System Rehabilitation	Design	\$ 46,667	100%
PCJPB	2008/09	Systemwide Track Rehabilitation Program	Construction	\$ 216,663	100%
PCJPB	2008/09	Systemwide Track Rehabilitation Program	Construction	\$ 15,994	100%
PCJPB	2008/09	Wide Spectrum Data Radio ATCS	Construction	\$ 138,333	100%
PCJPB	2009/10	Advanced Traveler Information System	Construction	\$ 25,517	100%

**Table 2. Project Delivery Snapshot  
Guideways - PCJPB (EP 22P)**

Completed Projects/Project Phases (sorted by allocation year, then sponsor, then project name)

Sponsor	Fiscal Year of Allocation	Project Name	Phase(s) Funded	Allocated (as of July 2018)	% Complete
PCJPB	2009/10	Los Gatos Bridge and Guadalupe Bridge	Design	\$ 133,333	100%
PCJPB	2009/10	Narrow Banding	Construction	\$ 233,333	100%
PCJPB	2009/10	Operational Control Center Replacement	Construction	\$ 86,667	100%
PCJPB	2009/10	Quint and Jerrold Bridge Replacement	Design, Construction	\$ 199,490	100%
PCJPB	2009/10	State of Good Repair Program	Construction	\$ 166,667	100%
PCJPB	2010/11	Caltrain Systemwide Bridge Improvements Los Gatos Creek Bridge	Design	\$ 93,333	100%
PCJPB	2010/11	Capital Project Management	Planning	\$ 144,682	100%
PCJPB	2010/11	Narrow Banding	Construction	\$ 84,343	100%
PCJPB	2010/11	Payment Card Industry Data Security Standards Update	Construction	\$ 96,839	100%
PCJPB	2010/11	Signal System Rehab	Construction	\$ 218,533	100%
PCJPB	2010/11	Systemwide Track Rehab	Construction	\$ 217,445	100%
PCJPB	2010/11	Update of Suicide Prevention Signs	Construction	\$ 36,666	100%
PCJPB	2011/12	Los Gatos Creek Bridge Replacement	Design	\$ 300,000	100%
PCJPB	2011/12	Los Gatos Creek Bridge Replacement	Environmental	\$ 350,000	100%
PCJPB	2011/12	Los Gatos Creek Bridge Replacement	Planning	\$ 350,000	100%
PCJPB	2011/12	North South Road Channel	Construction	\$ 33,980	100%
PCJPB	2011/12	North South Road Channel	Design	\$ 36,299	100%
PCJPB	2011/12	Systemwide Track Rehab Program	Construction	\$ 1,050,000	100%
PCJPB	2012/13	Bridges Replacements - San Francisco Roadway Bridges Replacement	Design	\$ 240,000	100%
PCJPB	2012/13	Bridges Replacements - San Francisco Roadway Bridges Replacement	Construction	\$ 446,533	100%
PCJPB	2012/13	Bridges Replacements - San Francisco Roadway Bridges Replacement	Right of Way	\$ 48,174	100%
PCJPB	2012/13	Communications Systems - Train Dispatcher Voice Upgrade	Construction	\$ 245,756	100%
PCJPB	2012/13	Communications Systems - Upgrade Public Address System	Construction	\$ 174,833	100%
PCJPB	2012/13	Communications Systems - Upgrade Public Address System	Design	\$ 568,538	100%
PCJPB	2012/13	Railroad Communications System State of Good Repair	Planning	\$ 68,998	100%

**Table 2. Project Delivery Snapshot  
Guideways - PCJPB (EP 22P)**

Completed Projects/Project Phases (sorted by allocation year, then sponsor, then project name)						
Sponsor	Fiscal Year of Allocation	Project Name	Phase(s) Funded	Allocated (as of July 2018)	% Complete	
PCJPB	2013/14	CTAMS Data Population	Design	\$ 350,000	100%	
PCJPB	2013/14	Jerrold Bridge North Span Replacement	Construction	\$ 118,160	100%	
PCJPB	2013/14	Rail Grinding	Construction	\$ 154,143	100%	
PCJPB	2013/14	South Terminal Wayside Power	Construction	\$ 28,197	100%	
PCJPB	2013/14	Upgrade of Public Address & Visual Message Signs	Construction	\$ 573,816	100%	
PCJPB	2014/15	Quint Street Bridge Replacement	Construction	\$ 303,066	100%	
PCJPB	2016/17	Santa Clara Grade Crossing Medians	Design	\$ 9,704	100%	

Underway Projects/Project Phases (sorted by allocation year, then sponsor, then project name)						
Sponsor	Fiscal Year of Allocation	Project Name	Phase(s) Funded	Allocated (as of July 2018)	% Complete	
PCJPB	2010/11	Capital Project Development	Planning	\$ 188,650	94%	
PCJPB	2010/11	Peninsula Rail Program - Program Management	Planning	\$ 935,000	97%	
PCJPB	2012/13	Communications Systems - Voice Radio System Rehab	Construction	\$ 110,000	80%	
PCJPB	2012/13	Railroad Communications System State of Good Repair	Construction	\$ 60,000	80%	
PCJPB	2012/13	Railroad Communications System State of Good Repair	Design	\$ 75,300	80%	
PCJPB	2012/13	Signal System Rehab	Construction	\$ 259,000	96%	
PCJPB	2012/13	Signal System Rehab	Design	\$ 59,400	96%	
PCJPB	2012/13	System Wide Track Rehabilitation Program	Construction	\$ 588,000	99%	
PCJPB	2013/14	Brisbane Tunnel Track and Drainage Rehabilitation	Design	\$ 53,000	50%	
PCJPB	2013/14	Brisbane Tunnel Track and Drainage Rehabilitation	Planning	\$ 33,400	50%	
PCJPB	2013/14	Marin Street and Napoleon Street Bridges	Planning	\$ 120,000	55%	
PCJPB	2013/14	Railroad Communication System State of Good Repair	Construction	\$ 58,922	80%	
PCJPB	2013/14	Railroad Communication System State of Good Repair	Design	\$ 59,506	80%	
PCJPB	2014/15	Systemwide Track Rehabilitation	Construction	\$ 1,243,407	99%	
PCJPB	2015/16	Systemwide Track Rehabilitation	Construction	\$ 1,398,243	99%	
PCJPB	2016/17	Santa Clara Grade Crossing Medians	Construction	\$ 749,000	5%	
PCJPB	2016/17	Systemwide Track Rehabilitation	Construction	\$ 600,000	99%	



**Table 2. Project Delivery Snapshot  
Guideways - PCJPB (EP 22P)**

Underway Projects/Project Phases (sorted by allocation year, then sponsor, then project name)

Sponsor	Fiscal Year of Allocation	Project Name	Phase(s) Funded	Allocated (as of July 2018)	% Complete
PCJPB	2017/18	Grade Crossing Improvements	Construction	\$ 228,867	10%
PCJPB	2017/18	Napoleon Street Bridge Replacement	Construction	\$ 220,000	55%
PCJPB	2017/18	Railroad Communication System State of Good Repair	Construction	\$ 80,000	80%
PCJPB	2017/18	Railroad Communication System State of Good Repair	Design	\$ 20,000	80%
PCJPB	2017/18	Systemwide Track Rehabilitation	Construction	\$ 700,000	99%
PCJPB	2017/18	Tunnel 1 & 4 Track and Drainage Rehabilitation	Construction	\$ 150,598	50%

For more information about the projects funded by the Transportation Authority, as well as projects for which we help oversee in our role as the Congestion Management Agency for San Francisco, visit our interactive project map at [mystreets.sfcta.org](http://mystreets.sfcta.org)

Table 3. Prioritization Criteria and Scoring Table  
 Guideways - PCJPB (EP 22P)

Local Capital Match Placeholder	PROP K PROGRAM-WIDE CRITERIA			CATEGORY SPECIFIC CRITERIA			Total
	Project Readiness	Community Support	Time Sensitive Urgency				
<i>Total Possible Score</i>	4	3	3				10
	<p><b>Projects in this category are prioritized by a capital improvement program, which is negotiated by the three county-member Peninsula Corridor Joint Powers Board.</b></p>						

**Prioritization Criteria Definitions:**

**Project Readiness:** Project likely to need funding in fiscal year proposed. Factors to be considered include adequacy of scope, schedule, budget and funding plan relative to current project status (e.g. expect more detail and certainty for a project about to enter construction than design); whether prior project phases are completed or expected to be completed before beginning the next phase; and whether litigation, community opposition or other factors may significantly delay project.

**Community Support:** Project has clear and diverse community support and/or was it identified through a community-based planning process. An example of a community-based plan is a neighborhood transportation plan, but not a countywide plan or agency capital improvement program.

Three points for a project in an adopted community based plan with evidence of diverse community support.

Two points for a project with evidence of support from both neighborhood stakeholders and groups and citywide groups.

One point for a project with evidence of support from either neighborhood stakeholders and groups or citywide groups.

**Time Sensitive Urgency:** Project needs to proceed in proposed timeframe to enable construction coordination with another project (e.g. minimize costs and construction impacts); to support another funded or proposed project (e.g. new signal controllers need to be installed to support TIEP implementation); or to meet timely use of funds deadlines associated with matching funds.

Table 4 - Prop K 5-Year Project List (FY 2019/20 - FY 2023/24)

Guideways - PCJPB (EP 22P)

Programming

Agency	Project Name	Phase	Status	Fiscal Year					Total
				2019/20	2020/21	2021/22	2022/23	2023/24	
PCJPB	Local Capital Match Placeholder	CON	Planned	\$2,000,000					\$2,000,000
PCJPB	Local Capital Match Placeholder	CON	Planned		\$3,650,000				\$3,650,000
PCJPB	Local Capital Match Placeholder	CON	Planned			\$500,000			\$500,000
<b>Funds Requested in 2019 5YPP</b>									
				\$2,000,000	\$3,650,000	\$500,000	\$0	\$0	\$6,150,000
	<b>Funds Programmed in 2019 Strategic Plan Baseline</b>			\$418,688	\$452,183	\$493,350	\$543,478	\$598,462	\$2,506,161
	<b>Cumulative Remaining Programming Capacity</b>			<b>(\$1,581,312)</b>	<b>(\$4,779,129)</b>	<b>(\$4,785,779)</b>	<b>(\$4,242,301)</b>	<b>(\$3,643,839)</b>	<b>(\$3,643,839)</b>

Table 4 - Prop K 5-Year Project List (FY 2019/20 - FY 2023/24)  
 Guideways - PCJPB (EP 22P)  
 Cash Flow (Maximum Annual Reimbursement)

Project Name	Phase	Fiscal Year					Total
		2019/20	2020/21	2021/22	2022/23	2023/24	
Local Capital Match Placeholder	CON	\$1,000,000	\$1,000,000				\$2,000,000
Local Capital Match Placeholder	CON		\$1,825,000	\$1,825,000			\$3,650,000
Local Capital Match Placeholder	CON			\$250,000	\$250,000		\$500,000
<b>Cash Flow Requested in 2019 5YPP</b>							
		\$1,000,000	\$2,825,000	\$2,075,000	\$250,000	\$0	\$6,150,000
<b>Cash Flow in 2019 Strategic Plan Baseline</b>		\$1,139,412	\$452,183	\$493,350	\$543,478	\$598,462	\$3,226,885
<b>Cumulative Remaining Cash Flow</b>		\$139,412	<b>(\$2,233,405)</b>	<b>(\$3,815,055)</b>	<b>(\$3,521,577)</b>	<b>(\$2,923,115)</b>	<b>(\$2,923,115)</b>

**San Francisco County Transportation Authority  
Proposition K Sales Tax Program Project Information Form**

<b>Prop K Project Information Form</b>			
<b>Project Name:</b>	Local Capital Match Placeholder		
<b>Implementing Agency:</b>	Peninsula Corridor Joint Powers Board (Caltrain)		
<b>Prop K Expenditure Plan Information</b>			
<b>Category:</b>	A. Transit		
<b>Subcategory:</b>	iii. System Maintenance and Renovation (transit)		
<b>EP Line (Primary):</b>	22P-Guideways - PCJPB		
<b>Other EP Line Number/s:</b>			
<b>Fiscal Year of Allocation:</b>	2019/20, 2020/21		
<b>Project Information</b>			
<b>Project Location:</b>	TBD		
<b>Supervisory District(s):</b>	District 06, District 10		
<b>Project Manager:</b>	Peter Skinner, Manager of Grants and Fund Programming		
<b>Phone Number:</b>	650-622-7818		
<b>Email:</b>	skinnerp@samtrans.com		
<b>Brief Project Description for MyStreetSF (80 words max):</b>	Prop K helps to offset San Francisco's local match contribution to Caltrain's capital budget for guideways projects. This work may include rehabilitation, upgrades, or replacement of rail, bridges and tunnels associated with Caltrain service, signals, safety systems, train control and communication systems, and general State of Good Repair of Caltrain guideways.		
<b>Detailed Scope (may attach Word document):</b> Please describe the project goals, scope, benefits and how the project was prioritized. Also, describe any coordination with other projects (e.g. paving, MuniForward, Vision Zero).	<p>Prop K offsets San Francisco's local match contribution to Caltrain's capital budget for guideways projects. This work may include rehabilitation, upgrades, or replacement of rail, bridges and tunnels associated with Caltrain service, signals, safety systems, train control and communication systems, and general State of Good Repair of Caltrain guideways. Costs reflect San Francisco share only. Includes project development and capital costs.</p> <p>The 5YPP contains placeholders since the 3 JPB member jurisdictions annually negotiate Caltrain's annual capital budget. Every year, Caltrain staff review and rank projects for the annual capital budget, which is subject to extensive review, discussion, and negotiation by the three joint powers board member counties (San Francisco, San Mateo and Santa Clara). This process typically concludes in the fall. Below are examples of projects that Caltrain may implement during this 5YPP period.</p> <p><b>Systemwide Track Rehabilitation Program:</b> The JPB has been rehabilitating the Caltrain corridor within San Francisco, San Mateo and Santa Clara Counties through an aggressive program of track improvements to maintain safe, reliable and a high quality of levels of service and provide the capability for future increases in service and enhanced operational flexibility. This project is part of an ongoing program for track rehabilitation on the Caltrain Corridor between the 4th &amp; King Station in San Francisco County and Control Point Lick, at Milepost 51.6, in Santa Clara County. Track rehabilitation work may include, but is not limited to: replacement of rail, rail components and ties; switches and switch components; elimination of jointed track with welded rail; improving track alignment through surfacing and lining; grinding of rail to eliminate uneven or defective rail surfaces; replacement of ballast and subgrades; replacement of existing paved street crossings with new crossing panels.</p> <p><b>Track, Bridge and Structure Rehabilitation</b> This project is part of an ongoing JPB program for bridge and structure rehabilitation along the Caltrain Corridor between the 4th &amp; King Station in San Francisco County and Control Point Lick, at Milepost 51.6, in Santa Clara County. This program includes a wide range of track and civil structure projects to maintain these existing assets in a state of good repair. Civil structure rehabilitation and replacement under this program includes existing bridge and bridge components such as foundations, piers, abutments, girders, stringers, deck structures, railings, walkways and approach structures. Other miscellaneous civil and track work includes repair or replacement of drainage culverts and catch basins, other types of drainage work as necessary to maintain good drainage conditions along the right of way, such as installation of sump drains, pumps, swales, ditches, sub-drains and pump structures, retaining walls to support track structures, erosion control measures, grading of roads and walkways to maintain site access; and replacement of fencing and signage.</p>		
<b>Prior Community Engagement/Support (may attach Word document):</b> Please reference any community outreach that has occurred and whether the project is included in any plans (e.g. neighborhood transportation plan, corridor improvement study, station area plans).	<p>The Caltrain Short Range Transit Plan (SRTP) contains the ten-year Caltrain Capital Improvement Program, which forms that basis of the San Francisco share for the five years covered by this 5YPP. Caltrain adopted its 2015-2024 SRTP on October 1, 2015. The SRTP was presented to the JPB Board of Directors on September 3, 2015 as an informational item and then for adoption at the regularly scheduled Board meeting on October 1, 2015.</p> <p>The JPB's annual capital budget process also helps to further refine the projects listed in the SRTP. For Fiscal Year 2019, Capital Budget was presented to the JPB board on May 3, 2018 and adopted on June 7, 2018. The Fiscal Year 2019 Caltrain Capital Budget provides funding for ongoing infrastructure improvements consistent with the guidance set forth in the Caltrain Short Range Transit Plan.</p>		
<b>Partner Agencies:</b> Please list partner agencies and identify a staff contact at each agency.			
<b>Type of Environmental Clearance Required:</b>			
<b>Attachments:</b> Please attach maps, drawings, photos of current conditions, etc. to support understanding of the project.	<table border="1"> <tr> <td>Yes</td> <td>Caltrain Project Prioritization Criteria</td> </tr> </table>	Yes	Caltrain Project Prioritization Criteria
Yes	Caltrain Project Prioritization Criteria		

San Francisco County Transportation Authority  
 Proposition K Sales Tax Program Project Information Form



Project Delivery Milestones Phase	Status	Work	Start Date		End Date	
	% Complete	In-house - Contracted - Both	Quarter	Fiscal Year	Quarter	Fiscal Year
Planning/Conceptual Engineering						
Environmental Studies (PA&ED)						
Right of Way						
Design Engineering (PS&E)						
Advertise Construction						
Start Construction (i.e. Award Contract)						
Operations (i.e. paratransit)						
Open for Use						
Project Completion (means last eligible expenditure)						

**Comments/Concerns**  
 This is a placeholder. Schedule will be determined once specific projects are identified and an allocation request is submitted.



**San Francisco County Transportation Authority  
Proposition K Sales Tax Program Project Information Form**

<b>Project Name:</b>	Local Capital Match Placeholder
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Project Cost Estimate	Phase	Cost	Funding Source	
			Prop K	Other
	Planning/Conceptual Engineering	\$ -	\$ -	\$ -
	Environmental Studies (PA&ED)	\$ -	\$ -	\$ -
	Right of Way	\$ -	\$ -	\$ -
	Design Engineering (PS&E)	\$ -	\$ -	\$ -
	Construction	\$ 6,150,000	\$ 6,150,000	\$ -
	Operations (i.e. paratransit)	\$ -	\$ -	\$ -
	<b>Total Project Cost</b>	<b>\$ 6,150,000</b>	<b>\$ 6,150,000</b>	<b>\$ -</b>
	<b>Percent of Total</b>		<b>100%</b>	<b>TBD</b>

Funding Plan - All Phases		Cash Flow for Prop K Only (i.e. Fiscal Year of Reimbursement)												
Fund Source	Prop K Expenditure Line	Phase	Fund Source Status	Fiscal Year of Allocation (Programming Year)	2019/20	2020/21	2021/22	2022/23	2023/24	2019/20	2020/21	2021/22	2022/23	2023/24
Prop K	22P-Guideways - PCJPB	Construction	Planned	2019/20	\$ -	\$ 1,000,000	\$ 1,000,000	\$ -	\$ -	\$ -	\$ 1,000,000	\$ -	\$ -	\$ -
Prop K	22P-Guideways - PCJPB	Construction	Planned	2020/21	\$ -	\$ -	\$ 1,825,000	\$ -	\$ -	\$ -	\$ 1,825,000	\$ 1,825,000	\$ -	\$ -
Prop K	22P-Guideways - PCJPB	Construction	Planned	2021/22	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ 250,000	\$ 250,000	\$ -
				<b>Total By Fiscal Year</b>	<b>\$ -</b>	<b>\$ 1,000,000</b>	<b>\$ 2,825,000</b>	<b>\$ 2,075,000</b>	<b>\$ 250,000</b>	<b>\$ -</b>	<b>\$ 2,825,000</b>	<b>\$ 2,075,000</b>	<b>\$ 250,000</b>	<b>\$ -</b>
				<b>Total Funding</b>	<b>\$ 2,000,000</b>	<b>\$ 3,650,000</b>	<b>\$ 500,000</b>	<b>\$ 6,150,000</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ -</b>

**Comments**

When projects are identified, projects are expected to include appropriate leveraging.

**Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)  
Guideways - PCJPB (EP 22P)  
Programming**

Approved July 22, 2014

Agency	Project Name	Phase	Status	Fiscal Year					Total
				2014/15	2015/16	2016/17	2017/18	2018/19	
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed	\$1,243,407					\$1,243,407
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed		\$1,319,130				\$1,319,130
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed			\$1,358,704			\$1,358,704
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed				\$1,399,465		\$1,399,465
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed					\$1,441,449	\$1,441,449
<b>Programmed in 5YPP</b>				\$1,243,407	\$1,319,130	\$1,358,704	\$1,399,465	\$1,441,449	\$6,762,155
<b>Programmed in 2014 Strategic Plan</b>				\$1,243,407	\$1,319,130	\$1,358,704	\$1,399,465	\$1,441,449	\$6,762,155
<b>Cumulative Remaining Programming Capacity</b>				\$81,466	\$81,466	\$81,466	\$81,466	\$81,466	\$81,466



**Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)**

**Guideways - PCJPB (EP 22P)**

**Cash Flow (\$) Maximum Annual Reimbursement**

Approved July 22, 2014

Project Name	Phase	Fiscal Year						Total
		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	
Local Capital Match Placeholder	Any Eligible	\$621,704	\$621,703					\$1,243,407
Local Capital Match Placeholder	Any Eligible		\$659,565	\$659,565				\$1,319,130
Local Capital Match Placeholder	Any Eligible			\$679,352	\$679,352			\$1,358,704
Local Capital Match Placeholder	Any Eligible				\$699,732	\$699,733		\$1,399,465
Local Capital Match Placeholder	Any Eligible					\$720,725	\$720,724	\$1,441,449
<b>Cash Flow Programmed in 5YPP</b>								
		\$621,704	\$1,281,268	\$1,338,917	\$1,379,084	\$1,420,458	\$720,724	\$6,762,155
<b>Cash Flow Programmed in 2014 Strategic Plan</b>								
		\$621,704	\$1,281,268	\$1,338,917	\$1,379,084	\$1,420,458	\$720,724	\$6,762,155
<b>Cumulative Remaining Cash Flow Capacity</b>								
		\$81,466	\$81,466	\$81,466	\$81,466	\$81,466	\$81,466	\$81,466

**Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)**  
**Guideways - PCJPB (EP 22P)**  
**Programming and Allocations to Date**

Pending November 27, 2018 Board

Agency	Project Name	Phase	Status	Fiscal Year					Total
				2014/15	2015/16	2016/17	2017/18	2018/19	
PCJPB	Systemwide Track Rehabilitation	CON	Allocated	\$1,243,407					\$1,243,407
PCJPB	Quint Street Bridge Replacement	CON	Allocated	\$303,066					\$303,066
PCJPB	Quint Street Bridge Replacement	CON	Deobligated					(\$303,066)	(\$303,066)
PCJPB	Systemwide Track Rehabilitation	CON	Allocated		\$1,398,243				\$1,398,243
PCJPB	Santa Clara Grade Crossing Medians	CON	Allocated			\$758,704			\$758,704
PCJPB	Systemwide Track Rehabilitation	CON	Allocated			\$600,000			\$600,000
PCJPB	Railroad Communication System State of Good Repair	PS&E	Allocated				\$20,000		\$20,000
PCJPB	Railroad Communication System State of Good Repair	CON	Allocated				\$80,000		\$80,000
PCJPB	Systemwide Track Rehabilitation	CON	Allocated				\$700,000		\$700,000
PCJPB	Tunnel 1 & 4 Track and Drainage Rehabilitation	CON	Allocated				\$150,598		\$150,598
PCJPB	Napolean Street Bridge Replacement	CON	Allocated				\$220,000		\$220,000
PCJPB	Grade Crossing Improvement	CON	Allocated				\$228,867		\$228,867

**Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)**

**Guideways - PCJPB (EP 22P)**

**Programming and Allocations to Date**

Pending November 27, 2018 Board

Agency	Project Name	Phase	Status	Fiscal Year					Total
				2014/15	2015/16	2016/17	2017/18	2018/19	
PCJPB	Railroad Communications State of Good Repair	CON	Pending					\$106,400	\$106,400
PCJPB	Signal System State of Good Repair	CON	Pending					\$60,000	\$60,000
PCJPB	Guadalupe River Bridge Replacement and Extension	PS&E	Pending					\$600,000	\$600,000
PCJPB	Marin Street and Napoleon Avenue Bridges Rehabilitation	CON	Pending					\$108,000	\$108,000
PCJPB	Tunnels 1 & 4 Track and Drainage Rehabilitation	CON	Pending					\$137,541	\$137,541
PCJPB	Systemwide Track Rehabilitation	CON	Pending					\$1,100,000	\$1,100,000

Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)

Guideways - PCJPB (EP 22P)

Programming and Allocations to Date

Pending November 27, 2018 Board

Agency	Project Name	Phase	Status	Fiscal Year					Total
				2014/15	2015/16	2016/17	2017/18	2018/19	
			<b>Programmed in 5YPP</b>	\$1,546,473	\$1,398,243	\$1,358,704	\$1,399,465	\$1,808,875	\$7,511,760
			<b>Programmed in 2014 Strategic Plan</b>	\$1,243,407	\$1,319,130	\$1,358,704	\$1,399,465	\$1,441,449	\$6,762,155
			<b>Cumulative Remaining Programming Capacity</b>	\$118,676	\$39,563	\$39,563	\$39,563	<b>(\$327,863)</b>	<b>(\$327,863)</b>

Programmed
Pending Allocation/Appropriation
Board Approved Allocation/Appropriation

**FOOTNOTES:**

Comprehensive 2014 5YPP amendment concurrent with 2019 5YPP adoption (Reso XX, approved YYY).

Local Capital Match Placeholder: Reduced from \$1,441,449 to \$0 in FY 2018/19.

Systemwide Track Rehabilitation: Added project with \$1,100,000 in FY 2018/19 in construction funds

Tunnels 1 & 4 Track and Drainage Rehabilitation: Added project with \$137,541 in FY 2018/19 construction funds.

Marin Street and Napoleon Avenue Bridges Rehabilitation: Added project with \$108,000 in FY 2018/19 construction funds.

Guadalupe River Bridge Replacement and Extension: Added project with \$600,000 in FY 2018/19 design funds.

Signal System State of Good Repair: Added project with \$60,000 in FY 2018/19 construction funds.

Railroad Communications State of Good Repair: Added project with \$106,400 in FY 2018/19 construction funds.

Note: On July 24, 2018, the Board approved an amendment to the 2019 Strategic Plan Baseline to program an additional \$630,929 to the Local Capital Match Placeholder.

Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)

Guideways - PCJPB (EP 22P)

Cash Flow (\$) Maximum Annual Reimbursement

Pending November 27, 2018 Board

Project Name	Phase	Fiscal Year							Total
		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20		
Systemwide Track Rehabilitation	CON	\$621,704	\$621,703						\$1,243,407
Quint Street Bridge Replacement	CON	\$303,066							\$303,066
Quint Street Bridge Replacement	CON					(\$303,066)			-\$303,066
Systemwide Track Rehabilitation	CON		\$699,122	\$699,121					\$1,398,243
Santa Clara Grade Crossing Medians	CON			\$9,704	\$749,000				\$758,704
Systemwide Track Rehabilitation	CON			\$300,000	\$300,000				\$600,000
Railroad Communication System State of Good Repair	PS&E				\$10,000	\$10,000		\$10,000	\$20,000
Railroad Communication System State of Good Repair	CON				\$40,000	\$40,000		\$40,000	\$80,000
Systemwide Track Rehabilitation					\$350,000	\$350,000		\$350,000	\$700,000
Tunnel 1 & 4 Track and Drainage Rehabilitation					\$75,299	\$75,299		\$75,299	\$150,598
Napolean Street Bridge Replacement					\$110,000	\$110,000		\$110,000	\$220,000
Grade Crossing Improvement					\$114,434	\$114,434		\$114,434	\$228,867

**Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)**

**Guideways - PCJPB (EP 22P)**

**Cash Flow (\$) Maximum Annual Reimbursement**

Pending November 27, 2018 Board

Project Name	Phase	Fiscal Year						Total
		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	
Railroad Communications State of Good Repair						\$53,200	\$53,200	\$106,400
Signal System State of Good Repair						\$30,000	\$30,000	\$60,000
Guadalupe River Bridge Replacement and Extension						\$300,000	\$300,000	\$600,000
Marin Street and Napoleon Avenue Bridges Rehabilitation						\$54,000	\$54,000	\$108,000
Tunnels 1 & 4 Track and Drainage Rehabilitation						\$68,771	\$68,771	\$137,541
Systemwide Track Rehabilitation						\$550,000	\$550,000	\$1,100,000

Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)

Guideways - PCJPB (EP 22P)

Cash Flow (\$) Maximum Annual Reimbursement

Pending November 27, 2018 Board

Project Name	Phase	Fiscal Year							Total
		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20		
Cash Flow Programmed in 5YPP		\$924,770	\$1,320,825	\$1,008,825	\$1,748,733	\$1,452,637	\$1,055,971	\$7,511,760	
Cash Flow Programmed in 2014 Strategic Plan		\$621,704	\$1,281,268	\$1,338,917	\$1,379,084	\$1,420,458	\$720,724	\$6,762,155	
Cumulative Remaining Cash Flow Capacity		\$118,676	\$79,119	\$409,211	\$39,562	\$7,383	(\$327,863)	(\$327,863)	
Programmed									
Pending Allocation/Appropriation									
Board Approved Allocation/Appropriation									

## CALTRAIN PROJECT PRIORITIZATION CRITERIA

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PCJPB evaluated projects based on a number of factors, including but not limited to the following:

- Meeting the goals and objectives of the Caltrain Modernization Program
- Improvement of operating efficiency, including throughput, reliability and safety;
- Local support and community benefit, including access and safety;
- Whether the project will ensure the facilities and structures are maintained in a state of good repair to ensure minimal disruption of service;
- Legally or contractually mandated;
- Safety and security enhancements;
- Service quality improvement, and;
- Ridership benefits.

The program of projects is then prioritized based on the following factors:

- Needs and benefits;
- Timing, scheduling and project readiness – scheduling of project is dependent on a number of factors, including the complexity, community support, and its constructability;
- Potential for cost-effective combinations of construction projects – critical to logically group or combine projects to help achieve economies of scale and minimize disruption to stakeholders and Caltrain service, and;
- Funding availability and eligibility by timeframe – programming and scheduling of the projects was done based on the type and availability of funding.

While the above criteria were used to evaluate projects, it is important to note that selection of projects for inclusion in the Caltrain Capital Improvement Program is an iterative process, as it involves the assessment of a number of competing factors, including constructability, project readiness, and funding constraints. Every year PCJPB staff review and rank proposed projects for the annual capital budget, which is subject to extensive review, discussion, and negotiation by the 3 joint powers board member agencies. The projects that are recommended in the annual capital budget for which local match is required are then submitted for annual Prop K allocations. The criteria used for the annual budget requests and the Prop K 5YPP are consistent. However, as part of the annual capital budgeting process, PCJPB staff does make refinements to the screening process and ranking factors to reflect changing conditions.