

CALTRAIN CAPITAL IMPROVEMENT PROGRAM

Pending 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:

“Provides San Francisco’s local match contribution for Caltrain’s Capital Improvement Program (CIP) projects, including continued implementation of express tracks between San Francisco and San Jose to improve travel time and reliability. This work may include passing sidings, to allow express trains to bypass local service where additional tracks are not appropriate and/or right of way is limited. Maintenance and rehabilitation projects designed to improve service levels. Costs reflect San Francisco share only. Includes project development and capital costs. Sponsoring Agency: PCJPB. The first \$19.9M is Priority 1 and the remainder is Priority 2. Total Funding: \$73.5M; Prop K: \$22.6M.”

PCJPB stands for Peninsula Corridor Joint Powers Board (PCJPB or 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 4th and Townsend Streets, 22nd 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 Caltrain Capital Improvement Program category, the Prop K Expenditure Plan assumes that every \$1 of sales tax revenue spent would leverage about \$2 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 Leveraging¹

Category	Expected Leveraging (Non-Prop K Funds)	Proposed Leveraging (Non-Prop K Funds)
Caltrain CIP	69%	TBD

¹This 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 this 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).

In the Caltrain 2015-2024 Short Range Transit Plan and the recently adopted 2018 Caltrain Transit Asset Management Plan, the JPB identified a number of goals for Caltrain, including the following:

- Meet current and future customer mobility needs
- Invest in system reliability
- Maintain equipment and assets in a state of good repair to support a safe operating environment for employees, customers, and the public

- Efficiently deliver services and projects

A well-developed and well-planned capital improvement program is critical to Caltrain in meeting these goals. Therefore, system-wide performance measures such as system usage (increase in ridership) and operating efficiency, reliability, and safety (such as on-time performance and schedule adherence) will be used by Caltrain to gauge the success of the planned capital program.

**Table 2. Project Delivery Snapshot
Caltrain Capital Improvement Program (EP 7)**

5-Year Prioritization Program (5YPP) Period *	Programmed (Available for Allocation)	Allocated (as of July 2018)	% Allocated
2005 5YPP (FY 2004/05-2008/09)	\$ 6,686,221	\$ 6,129,122	92%
2009 5YPP (FY 2009/10-2013/14)	\$ 3,384,869	\$ 3,384,665	100%
2014 5YPP (FY 2014/15 - 2018/19) as of 7/24/2018	\$ 6,694,827	\$ 5,174,178	77%
Total		\$ 14,687,964	

*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 - Capital Improvement Program	Planning	\$ 44,683	100%
PCJPB	2004/05	FY 2004-05 JPB Local Match - CIP	Construction	\$ 753,000	100%
PCJPB	2005/06	Caltrain Operational Data Infrastructure	Construction	\$ 108,000	100%
PCJPB	2005/06	Caltrain Operational Facilities and Equipment	Design, Construction	\$ 518,827	100%
PCJPB	2005/06	Caltrain Signal Construction	Planning	\$ 53,990	100%
PCJPB	2005/06	Security - Transit Safe Upgrade	Construction	\$ 12,667	100%
PCJPB	2005/06	Station Improvements at 22nd Street Caltrain Station	Construction	\$ 500,000	100%
PCJPB	2006/07	22nd Street Stairs Replacement	Construction	\$ 100,000	100%
PCJPB	2006/07	Caltrain ROW Safety Program	Planning	\$ 100,000	100%
PCJPB	2006/07	North Terminal Operations Improvement Project	Construction	\$ 413,314	100%
PCJPB	2006/07	Parking Machine Replacement Program	Construction	\$ 38,698	100%
PCJPB	2006/07	San Francisco Highway Replacement	Environmental, Design	\$ 345,000	100%
PCJPB	2006/07	Update of New Infrastructure Standards	Design	\$ 55,080	100%
PCJPB	2007/08	Caltrain Operational Data Infrastructure	Construction	\$ 108,565	100%
PCJPB	2007/08	Infrastructure Database Update, includes aerial mapping & track charts	Design	\$ 37,066	100%

**Table 2. Project Delivery Snapshot
Caltrain Capital Improvement Program (EP 7)**

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	2007/08	Intell Grade Xing Warning Sys. & Collision Avoidance for Elect. RR Study	Planning	\$ 250,000	100%
PCJPB	2007/08	Operational Facilities and Equipment	Construction	\$ 265,185	100%
PCJPB	2007/08	Rehabilitate and Update Caltrain Radio and Communication Systems	Construction	\$ 71,227	100%
PCJPB	2007/08	ROW Fencing Program	Construction	\$ 139,650	100%
PCJPB	2007/08	Signal Replacement & Upgrade Program	Design	\$ 312,667	100%
PCJPB	2008/09	Capital Project Development	Planning	\$ 166,667	100%
PCJPB	2008/09	Maintenance of Engineering Standards	Design	\$ 144,999	100%
PCJPB	2008/09	Op. Fac. & Equip. - Rolling Stock Miscellaneous Spare Parts & Equipment	Construction	\$ 816,966	100%
PCJPB	2008/09	Visual Message System	Design	\$ 12,000	100%
PCJPB	2009/10	Peninsula Rail Program - Program Management	Planning	\$ 1,062,959	100%
PCJPB	2013/14	ROW Safety Fencing	Construction	\$ 429,869	100%
PCJPB	2013/14	Train Departure Monitors at Terminal Stations	Design	\$ 200,000	100%
PCJPB	2013/14	Train Departure Monitors at Terminal Stations	Construction	\$ 385,000	100%
PCJPB	2014/15	Rail Grinding	Construction	\$ 620,400	100%
PCJPB	2014/15	Railroad Bridge Load Rating	Design	\$ 8,174	100%
PCJPB	2015/16	Los Gatos Creek Bridge Replacement	Construction	\$ 427,571	100%
PCJPB	2016/17	Los Gatos Creek Bridge Replacement	Construction	\$ 895,729	100%

**Table 2. Project Delivery Snapshot
Caltrain Capital Improvement Program (EP 7)**

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	2008/09	Caltrain 2025 Implementation Plan	Planning	\$ 1,166,667	97%
PCJPB	2009/10	Capital Program Management and Project Development	Planning	\$ 416,667	94%
PCJPB	2015/16	FY16 Station Fiber Connectivity Implementation	Design	\$ 598,000	35%
PCJPB	2015/16	Marin Street and Napoleon Street Bridges	Design	\$ 152,800	55%
PCJPB	2015/16	Tunnel #4 Track and Drainage Rehabilitation	Design	\$ 259,200	50%
PCJPB	2016/17	Marin Street and Napoleon Street Bridges	Construction	\$ 200,000	55%
PCJPB	2017/18	Caltrain Business Plan	Planning	\$ 350,000	5%
PCJPB	2017/18	Maintenance Facility State of Good Repair	Construction	\$ 393,794	10%
PCJPB	2017/18	Ticket Vending Machine Rehab Program	Design	\$ 99,000	10%
PCJPB	2017/18	Transit Asset Management Plan	Planning	\$ 420,000	40%
PCJPB	2017/18	Tunnel 1 & 4 Track and Drainage Rehabilitation	Construction	\$ 1,107,700	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

Table 3 - Prioritization Criteria and Scoring Table
Caltrain Capital Improvement Program (EP 7)

Subcategory Name	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
Local Capital Match Placeholder	<p>Projects in this category are prioritized by a capital improvement program, which is negotiated by the three county-member Peninsula Corridor Joint Powers Board.</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)
 Caltrain Capital Improvement Program Category (EP 7)
 Programming

Agency	Project Name	Phase	Status	Fiscal Year					Total
				2019/20	2020/21	2021/22	2022/23	2023/24	
PCJPB	Local Capital Match Placeholder	Any	Planned	\$2,500,000					\$2,500,000
PCJPB	Local Capital Match Placeholder	Any	Planned		\$1,750,000				\$1,750,000
Funds Requested in 2019 5YPP									
				\$2,500,000	\$1,750,000	\$0	\$0	\$0	\$4,250,000
Funds Programmed in 2019 Strategic Plan Baseline									
				\$1,247,332	\$1,283,252	\$1,320,250	\$930,000	\$0	\$4,780,834
Cumulative Remaining Programming Capacity									
				(\$1,252,668)	(\$1,719,416)	(\$399,166)	\$530,834	\$530,834	\$530,834

Table 4 - Prop K 5-Year Project List (FY 2019/20 - FY 2023/24)
 Caltrain Capital Improvement Program Category (EP 7)
 Cash Flow (Maximum Annual Reimbursement)

Project Name	Phase	Fiscal Year				Total
		2019/20	2020/21	2021/22	2022/23	
Local Capital Match Placeholder	Any	\$1,250,000	\$1,250,000			\$2,500,000
Local Capital Match Placeholder	Any		\$875,000	\$875,000		\$1,750,000
Cash Flow Requested in 2019 5YPP						
		\$1,250,000	\$2,125,000	\$875,000	\$0	\$4,250,000
Cash Flow in 2019 Strategic Plan Baseline		\$1,828,562	\$1,283,252	\$1,320,250	\$930,000	\$5,362,064
Cumulative Remaining Cash Flow Capacity		\$578,562	(\$263,187)	\$182,064	\$1,112,064	\$1,112,064

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

Prop K Project Information Form	
Project Name:	Local Capital Match Placeholder
Implementing Agency:	Peninsula Corridor Joint Powers Board (Caltrain)
Prop K Expenditure Plan Information	
Category:	A. Transit
Subcategory:	i. Major Capital Projects (transit)
EP Line (Primary):	7-Capital Improvement Program
Other EP Line Number/s:	
Fiscal Year of Allocation:	2019/20, 2020/21
Project Information	
Project Location:	TBD
Supervisorial District(s):	District 06, District 10
Project Manager:	Peter Skinner, Manager of Fund and Grants Programming
Phone Number:	650-622-7818
Email:	skinnerp@santrans.com
Brief Project Description for MyStreetSF (80 words max):	Prop K helps to offset San Francisco's local match contribution to Caltrain's capital budget for Caltrain's Capital Improvement Program (CIP) projects, including continued implementation of express tracks between San Francisco and San Jose to improve travel time and reliability. This work may include passing siding, to allow express trains to bypass local service where additional tracks are not appropriate and/or right of way is limited. Projects are designed to improve service levels.
Detailed Scope (may attach Word document): 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 helps to offset San Francisco's local match contribution to Caltrain's capital budget for Caltrain's Capital Improvement Program (CIP) projects, including continued implementation of express tracks between San Francisco and San Jose to improve travel time and reliability. This work may include passing sidings, to allow express trains to bypass local service where additional tracks are not appropriate and/or right of way is limited. Maintenance and rehabilitation projects designed to improve service levels. 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 is an example of a project that Caltrain may implement during this 5YPP period.</p> <p>Track, Bridge and Structure Rehabilitation</p> <p>This project is part of an ongoing JPB program for bridge and structure rehabilitation along the Caltrain Corridor between the 4th & 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>
Prior Community Engagement/Support (may attach Word document): 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 the 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>

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



Partner Agencies: Please list partner agencies and identify a staff contact at each agency.		
Type of Environmental Clearance Required:		
Attachments: Please attach maps, drawings, photos of current conditions, etc. to support understanding of the project.	Yes	Caltrain Project Prioritization Criteria

Project Delivery Milestones Phase	Status % Complete	Work In-house - Contracted - Both	Start Date		End Date	
			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

Project Name: Local Capital Match Placeholder

Project Cost Estimate	Phase	Cost	Funding Source		
			Prop K	Other	Other
	Planning/Conceptual Engineering	\$ -	\$ -	\$ -	-
	Environmental Studies (PA&ED)	\$ -	\$ -	\$ -	-
	Right of Way	\$ -	\$ -	\$ -	-
	Design Engineering (PS&E)	\$ -	\$ -	\$ -	-
	Construction	\$ 4,250,000	\$ 4,250,000	\$ -	-
	Operations (i.e. paratransit)	\$ -	\$ -	\$ -	-
	Total Project Cost	\$ 4,250,000	\$ 4,250,000	\$ -	-
	Percent of Total		100%		TBD

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)	Total Funding	Previous	2019/20	2020/21	2021/22	2022/23	2023/24
Prop K	7-Capital Improvement Program	Any	Planned	2019/20	\$ 2,500,000	\$ -	\$ 1,250,000	\$ 1,250,000	\$ -	\$ -	\$ -
Prop K	7-Capital Improvement Program	Any	Planned	2020/21	\$ 1,750,000	\$ -	\$ -	\$ 875,000	\$ 875,000	\$ -	\$ -
				Total By Fiscal Year	\$ 4,250,000	\$ -	\$ 1,250,000	\$ 2,125,000	\$ 875,000	\$ -	\$ -

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

Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)
 Caltrain Capital Improvement Program (EP 7)

Programming
 Approved 7/22/2014

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	\$1,002,747					\$1,002,747
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed		\$1,063,815				\$1,063,815
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed			\$1,095,729			\$1,095,729
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed				\$1,128,601		\$1,128,601
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed					\$1,162,459	\$1,162,459
Programmed in 5YPP				\$1,002,747	\$1,063,815	\$1,095,729	\$1,128,601	\$1,162,459	\$5,453,351
Programmed in 2014 Strategic Plan				\$837,114	\$853,856	\$870,933	\$888,352	\$906,119	\$4,356,374
Cumulative Remaining Programming Capacity				(\$165,633)	(\$375,592)	(\$600,388)	(\$840,637)	(\$1,096,977)	(\$1,096,977)

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

Caltrain Capital Improvement Program (EP 7)

Cash Flow (\$) Maximum Annual Reimbursement

Approved 7/22/2014

Project Name	Phase	Fiscal Year						Total
		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	
Local Capital Match Placeholder	Any Eligible	\$501,374	\$501,374					\$1,002,747
Local Capital Match Placeholder	Any Eligible		\$531,908	\$531,908				\$1,063,815
Local Capital Match Placeholder	Any Eligible			\$547,865	\$547,865			\$1,095,729
Local Capital Match Placeholder	Any Eligible				\$564,301	\$564,301		\$1,128,601
Local Capital Match Placeholder	Any Eligible					\$581,230	\$581,230	\$1,162,459
Cash Flow Programmed in 5YPP								
		\$501,374	\$1,033,281	\$1,079,772	\$1,112,165	\$1,145,530	\$581,230	\$5,453,351
Cash Flow Programmed in 2014 Strategic Plan								
		\$501,374	\$1,033,281	\$1,079,772	\$1,112,165	\$1,145,530	\$581,230	\$5,453,351
Cumulative Remaining Cash Flow Capacity								
		\$0	\$0	\$0	\$0	\$0	\$0	\$0

**Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)
Caltrain Capital Improvement Program (EP 7)
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 Bridge Load Rating	PS&E	Allocated	\$382,347						\$382,347
PCJPB	Railroad Bridge Load Rating	PS&E	Deobligated				(\$374,173)			(\$374,173)
PCJPB	Caltrain Business Plan	PLAN/CER	Allocated				\$350,000			\$350,000
PCJPB	Rail Grinding	CON	Allocated	\$620,400						\$620,400
PCJPB	Los Gatos Creek Bridge Replacement	CON	Allocated		\$427,571					\$427,571
PCJPB	Tunnel #4 Track and Drainage Rehabilitation	PS&E	Allocated		\$259,200					\$259,200
PCJPB	Marin Street and Napoleon Ave Bridge	PS&E	Allocated		\$152,800					\$152,800
PCJPB	FY16 Station Fiber Connectivity Implementation	PS&E	Allocated		\$598,000					\$598,000
PCJPB	Los Gatos Creek Bridge Replacement	CON	Allocated			\$895,729				\$895,729
PCJPB	Marin Street and Napoleon Street Bridges	CON	Allocated			\$200,000				\$200,000
PCJPB	Tunnel 1 & 4 Track and Drainage Rehabilitation	CON	Allocated				\$1,107,700			\$1,107,700
PCJPB	Transit Asset Management	PLAN/CER	Allocated				\$420,000			\$420,000
PCJPB	Ticket Vending Machine Rehab Program	PS&E	Allocated				\$99,000			\$99,000
PCJPB	Maintenance Facility State of Good Repair	CON	Allocated				\$393,794			\$393,794
PCJPB	Tunnels 1 & 4 Track and Drainage Rehabilitation	Any Eligible	Pending						\$1,162,459	\$1,162,459

**Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)
Caltrain Capital Improvement Program (EP 7)
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	
			Programmed in 5YPP	\$1,002,747	\$1,437,571	\$1,095,729	\$1,996,321	\$1,162,459	\$6,694,827
			Programmed in 2014 Strategic Plan	\$1,002,747	\$1,287,571	\$1,095,729	\$2,020,494	\$1,162,459	\$6,569,000
			Cumulative Remaining Programming Capacity	\$350,374	\$200,374	\$200,374	\$224,547	\$224,547	\$224,547

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 \$1,162,459 to \$0 in FY 2018/19.

Tunnels 1 & 4 Track and Drainage Rehabilitation: Added project with \$1,162,459 in FY 2018/19 construction funds.

Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)
 Caltrain Capital Improvement Program (EP 7)
 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 Bridge Load Rating	PS&E	\$191,174	\$191,173						\$382,347
Railroad Bridge Load Rating	PS&E				(\$374,173)				(\$374,173)
Caltrain Business Plan	PLAN/CER				\$50,000	\$300,000			\$350,000
Rail Grinding	CON	\$310,200	\$310,200						\$620,400
Los Gatos Creek Bridge Replacement	CON		\$0	\$427,571					\$427,571
Tunnel #4 Track and Drainage Rehabilitation	PS&E		\$129,600	\$129,600					\$259,200
Marin Street and Napoleon Ave Bridge	PS&E		\$76,400	\$76,400					\$152,800
FY16 Station Fiber Connectivity Implementation	PS&E		\$299,000	\$299,000					\$598,000
Los Gatos Creek Bridge Replacement	CON				\$895,729				\$895,729
Marin Street and Napoleon Street Bridges	CON				\$200,000				\$200,000
Tunnel 1 & 4 Track and Drainage Rehabilitation	CON				\$553,850	\$553,850			\$1,107,700
Transit Asset Management	PLAN/CER				\$210,000	\$210,000			\$420,000
Ticket Vending Machine Rehab Program	PS&E				\$49,500	\$49,500			\$99,000
Maintenance Facility State of Good Repair	CON				\$196,897	\$196,897			\$393,794
Tunnels 1 & 4 Track and Drainage Rehabilitation	Any Eligible					\$581,230	\$581,230		\$1,162,459

**Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)
 Caltrain Capital Improvement Program (EP 7)
 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		\$501,374	\$1,006,373	\$932,571	\$1,781,803	\$1,891,477	\$581,230	\$6,694,827
Cash Flow Programmed in 2014 Strategic Plan		\$501,374	\$1,257,037	\$1,079,772	\$1,558,111	\$1,591,477	\$581,230	\$6,569,000
Cumulative Remaining Cash Flow Capacity		\$350,374	\$601,038	\$748,239	\$524,547	\$224,547	\$224,547	\$224,547

Programmed
Pending Allocation/Appropriation
Board Approved Allocation/Appropriation

CALTRAIN PROJECT PRIORITIZATION CRITERIA

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.