



**2019 PROPOSITION K  
5-YEAR PRIORITIZATION PROGRAM**

## **TRANSIT SYSTEM MAINTENANCE AND RENOVATION**

### **VEHICLES - Caltrain**

Approved: November 27, 2018

Prepared for the San Francisco County Transportation Authority

By Peninsula Corridor Joint Powers Board (PCJPB or Caltrain)



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## Eligibility

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

“Programmatic improvements for upgrade, rehabilitation and replacement of transit vehicles, spare parts and on-board equipment. Includes limited incremental operating funds for F-line historic streetcar operations. The first \$506.3M is Priority 1 and the remainder is Priority 2. Projects include:

Rail car, trolley coach and motor coach renovation and replacement; retrofit of diesel coaches to reduce emissions. Includes project development and capital costs. Sponsoring Agencies: Muni, BART, PCJPB. Funding for BART rail car renovation and replacement shall be eligible for funding under this subcategory if the Authority finds that the costs of rail car renovation and replacement are shared equitably among the counties BART serves. The first \$486M in Prop K is Priority 1, and the remainder is Priority 2. Total Funding: \$3,476.7 M; Prop K: \$566 M. Of the \$565.7 M in Prop K funds, the following minimum amounts will be available for MUNI (\$450.8M), BART (\$11.5M), and PCJPB (\$23M).”

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 Vehicles - PCJPB category, the Prop K Expenditure Plan assumes that every \$1 of sales tax revenue spent would leverage about \$5 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)
Vehicles	84%	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 performance measures that will be applied to implemented vehicles projects are:

- Increase mean distance between failures
- Adherence to industry and government maintenance guidelines

The goal in programming vehicle projects is to minimize vehicle failures, service disruptions and to reduce the cost of operating vehicles that are beyond their useful life.

**Table 2. Project Delivery Snapshot  
New and Renovated Vehicles - PCJPB (EP 17P)**

5-Year Prioritization Program (5YPP) Period *	Programmed (Available for Allocation)	Allocated (as of July 2018)	% Allocated
2005 5YPP (FY 2004/05-2008/09)	\$ 1,992,873	\$ 1,967,297	99%
2009 5YPP (FY 2009/10-2013/14)	\$ 5,412,363	\$ 5,412,029	100%
2014 5YPP (FY 2014/15 - 2018/19) as of 7/24/2018	\$ 7,207,861	\$ 5,988,527	83%
<b>Total</b>		\$ 13,367,853	

\*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 - Vehicles (PCJPB portion)	Planning	\$ 2,153	100%
PCJPB	2004/05	FY 2004-05 JPB Local Match - Vehicles	Construction	\$ 56,000	100%
PCJPB	2005/06	Caltrain Rolling Stock Replacement/Rehabilitation	Construction	\$ 393,380	100%
PCJPB	2006/07	Gallery Passenger Car Seat Cushions	Construction	\$ 295,500	100%
PCJPB	2007/08	Rolling Stock - Miscellaneous Spare Parts & Equipment	Construction	\$ 417,187	100%
PCJPB	2007/08	SEP-HEP Rehab Program for 6 MP36PH-3C locomotives	Construction	\$ 397,077	100%
PCJPB	2009/10	Caltrain Rolling Stock Procurement Plan & Specs	Environmental	\$ 33,709	100%
PCJPB	2009/10	Caltrain Service Reliability Plan	Environmental	\$ 66,667	100%
PCJPB	2009/10	F40 Locomotive Overhaul	Construction	\$ 343,747	100%
PCJPB	2009/10	F40 SEP-HEP Overhaul/Replacement	Construction	\$ 611,851	100%
PCJPB	2009/10	F40 Traction Motor & New Wheel Sets	Construction	\$ 36,667	100%
PCJPB	2009/10	MP36 Locomotive Radiators	Construction	\$ 70,404	100%

**Table 2. Project Delivery Snapshot  
New and Renovated Vehicles - PCJPB (EP 17P)**

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	Repair Gallery Car Bolster	Construction	\$ 50,857	100%
PCJPB	2010/11	F40 Locomotive Overhaul	Construction	\$ 268,991	100%
PCJPB	2010/11	F40 Locomotive Overhaul - Added Maintenance #2	Construction	\$ 96,591	100%
PCJPB	2010/11	F40 Locomotive Overhaul - Added Maintenance #3	Construction	\$ 39,600	100%
PCJPB	2011/12	Rolling Stock Equipment - F40 SEP-HEP Overhaul/Replacement FY10/11	Construction	\$ 371,484	100%
PCJPB	2011/12	Rolling Stock State of Good Repair FY11/12	Construction	\$ 133,000	100%
PCJPB	2013/14	MP 36 SEP HEP Replacement	Construction	\$ 1,000,000	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	2009/10	Gallery Car State of Good Repair Program	Construction	\$ 133,993	69%
PCJPB	2010/11	Gallery Car State of Good Repair Program	Construction	\$ 408,551	69%
PCJPB	2010/11	Gallery Car Support Program #2	Construction	\$ 136,686	69%
PCJPB	2011/12	Rolling Stock Equipment - Gallery Car State of Good Repair Program FY10/11	Construction	\$ 542,021	69%
PCJPB	2012/13	Rolling Stock State of Good Repair	Construction	\$ 1,000,000	57%
PCJPB	2014/15	F40 Locomotive Mid-Life Overhaul	Construction	\$ 1,042,857	28%
PCJPB	2015/16	FY16 Rolling Stock SOGR	Construction	\$ 1,673,197	57%
PCJPB	2016/17	F40 Mid Life Overhaul	Construction	\$ 2,109,105	35%
PCJPB	2017/18	F40 Locomotives State of Good Repair	Construction	\$ 388,650	0%
PCJPB	2017/18	Passenger Cars State of Good Repair	Construction	\$ 785,095	0%

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  
New and Renovated Vehicles - PCJPB (EP 17P)

	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><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 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 TEP 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)  
New and Renovated Vehicles - PCJPB Category (EP 17P)  
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	\$2,250,000					\$2,250,000
PCJPB	Local Capital Match Placeholder	CON	Planned		\$1,700,000				\$1,700,000
<b>Funds Requested in 2019 5YPP</b>				\$2,250,000	\$1,700,000	\$0	\$0	\$0	\$3,950,000
<b>Funds Programmed in 2019 Strategic Plan Baseline</b>				\$441,791	\$468,299	\$503,036	\$541,688	\$583,470	\$2,538,284
<b>Cumulative Remaining Programming Capacity</b>				<b>(\$1,808,209)</b>	<b>(\$3,039,910)</b>	<b>(\$2,536,874)</b>	<b>(\$1,995,186)</b>	<b>(\$1,411,716)</b>	<b>(\$1,411,716)</b>

**Table 4 - Prop K 5-Year Project List (FY 2019/20 - FY 2023/24)  
 New and Renovated Vehicles - PCJPB Category (EP 17P)  
 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	\$1,125,000	\$1,125,000				\$2,250,000
Local Capital Match Placeholder	CON		\$850,000	\$850,000			\$1,700,000
<b>Cash Flow Requested in 2019 5YPP</b>							
		\$1,125,000	\$1,975,000	\$850,000	\$0	\$0	\$3,950,000
<b>Cash Flow in 2019 Strategic Plan Baseline</b>							
		\$1,046,270	\$468,299	\$503,036	\$541,688	\$583,470	\$3,142,763
<b>Cumulative Remaining Cash Flow Capacity</b>							
		(\$78,730)	(\$1,585,431)	(\$1,932,395)	(\$1,390,707)	(\$807,237)	(\$807,237)



**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>	17P-Vehicles - PCJPB		
<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 Fund and Grants Programming		
<b>Phone Number:</b>	650-622-7818		
<b>Email:</b>	<a href="mailto:skinnercp@samtrans.com">skinnercp@samtrans.com</a>		
<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 Caltrain's vehicle projects, including continued replacement, upgrade, and repairs of Caltrain vehicles to improve travel time and reliability or increase service levels. This work may include locomotive upgrades, passenger car repairs and upgrades, procurement of rolling stock and spare parts, and general State of Good Repair of vehicles.		
<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 helps to offset San Francisco's local match contribution to Caltrain's capital budget for Caltrain's vehicle projects, including continued replacement, upgrade, and repairs of Caltrain vehicles to improve travel time and reliability or increase service levels. This work may include locomotive upgrades, passenger car repairs and upgrades, procurement of rolling stock and spare parts, and general State of Good Repair of vehicles. 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. 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><b>Revenue Vehicle Rehabilitation</b> The revenue vehicle rehabilitation program includes a wide range of work to maintain Caltrain's rolling stock in a state of good repair. Work will be performed on the JPB's fleet of locomotives, Bomardier cars and gallery cars. Rehabilitation and replacement work includes: mid-life overhauls of locomotives and rail cars; in-frame engine overhauls; repair/replacement of separate head-end power (SEP-HEP) units; engine and engine components; suspension and suspension components; wheels and traction motors; electrical components including interior and exterior lighting; HVAC systems; plumbing systems; windows; interior fixtures and equipment; cab equipment; exterior signage; door systems; and other systems/subsystems and equipment required to maintain the rolling stock in a state of good repair.</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

**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	\$ 3,950,000	\$ 3,950,000	\$ -	-
	Operations (i.e. paratransit)	\$ -	\$ -	\$ -	-
	<b>Total Project Cost</b>	<b>\$ 3,950,000</b>	<b>\$ 3,950,000</b>	<b>\$ -</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)	Total Funding	Previous	2019/20	2020/21	2021/22	2022/23	2023/24
							\$	\$	\$	\$	\$
Prop K	17P-Vehicles - PCJPB	Construction	Planned	2019/20	\$ 2,250,000	\$ -	\$ 1,125,000	\$ 1,125,000	\$ -	\$ -	\$ -
Prop K	17P-Vehicles - PCJPB	Construction	Planned	2020/21	\$ 1,700,000	\$ -	\$ -	\$ 850,000	\$ 850,000	\$ -	\$ -
<b>Total By Fiscal Year</b>					<b>\$ 3,950,000</b>	<b>\$ -</b>	<b>\$ 1,125,000</b>	<b>\$ 1,975,000</b>	<b>\$ 850,000</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)  
New and Renovated Vehicles - PCJPB (EP 17P)**

**Programming**  
Approved 6/24/14

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	\$1,042,857					\$1,042,857
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed		\$1,106,367				\$1,106,367
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed			\$1,139,558			\$1,139,558
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed				\$1,173,745		\$1,173,745
PCJPB	Local Capital Match Placeholder	Any Eligible	Programmed					\$1,208,957	\$1,208,957
<b>Programmed in 5YPP</b>				\$1,042,857	\$1,106,367	\$1,139,558	\$1,173,745	\$1,208,957	\$5,671,484
<b>Programmed in 2014 Strategic Plan</b>				\$1,042,857	\$1,106,367	\$1,139,558	\$1,173,745	\$1,208,957	\$5,671,484
<b>Cumulative Remaining Programming Capacity</b>				\$2,742	\$2,742	\$2,742	\$2,742	\$2,742	\$2,742

**Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)  
 New and Renovated Vehicles - PCJPB (EP 17P)  
 Cash Flow (\$) Maximum Annual Reimbursement**

Approved 6/24/14

Project Name	Phase	Fiscal Year						Total
		2014/15	2015/16	2016/17	2017/18	2018/19	2019/20	
Local Capital Match Placeholder	Any Eligible	\$521,429	\$521,428					\$1,042,857
Local Capital Match Placeholder	Any Eligible		\$553,184	\$553,183				\$1,106,367
Local Capital Match Placeholder	Any Eligible			\$569,779	\$569,779			\$1,139,558
Local Capital Match Placeholder	Any Eligible				\$586,873	\$586,872		\$1,173,745
Local Capital Match Placeholder	Any Eligible					\$604,479	\$604,479	\$1,208,957
<b>Cash Flow Programmed in 5YPP</b>		\$521,429	\$1,074,612	\$1,122,962	\$1,156,652	\$1,191,351	\$604,479	\$5,671,484
<b>Cash Flow Programmed in 2014 Strategic Plan</b>		\$521,429	\$1,074,612	\$1,122,962	\$1,156,652	\$1,191,351	\$604,479	\$5,671,484
<b>Cumulative Remaining Cash Flow Capacity</b>		\$0	\$0	\$0	\$0	\$0	\$0	\$0



**Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)  
New and Renovated Vehicles - PCJPB (EP 17P)**

**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	F40 Locomotive Mid-Life Overhaul	CON	Allocated	\$1,042,857					\$1,042,857
PCJPB	FY16 Rolling Stock SOGR	CON	Allocated		\$1,673,197				\$1,673,197
PCJPB	F-40 Mid Life Overhaul	CON	Allocated			\$2,109,105			\$2,109,105
PCJPB	F40 SOGR	CON	Allocated				\$388,650		\$388,650
PCJPB	Passenger Cars SOGR	CON	Allocated				\$785,095		\$785,095
PCJPB	Revenue Vehicle Rehabilitation	CON	Pending					\$3,807,115	\$3,807,115
				<b>Programmed in 5YPP</b>					
				\$1,042,857	\$1,673,197	\$2,109,105	\$1,173,745	\$3,807,115	\$9,806,019
				<b>Programmed in 2014 Strategic Plan</b>					
				\$1,042,857	\$1,670,455	\$2,109,105	\$1,173,745	\$1,208,957	\$7,205,119
				<b>Cumulative Remaining Programming Capacity</b>					
				\$2,742	\$0	\$0	\$0	(\$2,598,158)	(\$2,598,158)

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 \$1,208,957 to \$0 in FY 2018/19.

Revenue Vehicle Rehabilitation: Added project with \$3,807,115 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 \$2,598,158 to the Local Capital Match Placeholder.

**Prop K 5-Year Project List (FY 2014/15 - FY 2018/19)  
New and Renovated Vehicles - PCJPB (EP 17P)  
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	
F40 Locomotive Mid-Life Overhaul	CON	\$521,429	\$521,428					\$1,042,857
FY16 Rolling Stock SOGR	CON		\$836,599	\$836,598				\$1,673,197
F-40 Mid Life Overhaul	CON			\$421,821	\$843,642	\$843,642		\$2,109,105
F40 SOGR	CON				\$194,325	\$194,325		\$388,650
Passenger Cars SOGR	CON				\$392,548	\$392,548		\$785,095
Revenue Vehicle Rehabilitation	CON					\$1,903,558	\$1,903,558	\$3,807,115
<b>Cash Flow Programmed in 5YPP</b>		\$521,429	\$1,358,027	\$1,258,419	\$1,430,515	\$3,334,072	\$1,903,558	\$9,806,019
<b>Cash Flow Programmed in 2014 Strategic Plan</b>		\$521,429	\$1,355,285	\$2,375,924	\$1,156,652	\$1,191,351	\$604,479	\$7,205,119
<b>Cumulative Remaining Cash Flow Capacity</b>		\$2,742	\$0	\$1,117,505	\$843,643	(\$1,299,079)	(\$2,598,158)	(\$2,598,158)

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.