



10-Year Capital Improvement Plan

FY2026 - FY2035



FINAL DRAFT - September 13, 2024

Letter from the Executive Director

I'm thrilled about Caltrain at this historic moment. We recently completed our \$2 billion Peninsula Corridor Electrification Project (PCEP), and now our customers are traveling on the nation's newest electrified corridor. We will also be the nation's first railroad to offer service using Battery Electric Multiple Units (BEMUs). Transit Agencies across the country are looking at Caltrain as we transform our region's transportation system- making it more sustainable and equitable. We're transforming our region's transportation system, and we're making it more sustainable and equitable.

As we move forward with so much new infrastructure, we need stable and transparent plans and sound business processes to support them. The Capital Investment Plan (CIP) is a critical tool to guide our path forward and memorialize how we deliver projects to meet Caltrain's core values and goals, including safety and customer experience. This CIP helps us prioritize and communicate our capital needs, which allows us to continue to improve our service, expand our reach, and make Caltrain the best transportation option for everyone in our region.

The CIP introduces Strategic Initiatives that help balance our needs to continually improve safety and security, address ongoing state of good repair projects, maintain core service, enhance customer experience, and set the stage for delivering our Long-Range Service Vision with the need to continue advancing our local jurisdiction partner projects, grade separation projects, and projects with regional significance.

Thank you to everyone who made this happen. The CIP development was absolutely an agency-wide effort. We couldn't have gotten here without the dedication, experience, and expertise of everyone at Caltrain to develop and document the portfolio of projects and consider how we prioritize our long-term capital investments. Our member agency Transportation Authorities (TAs) from San Francisco, San Mateo, and Santa Clara Counties were also integral to finalizing the CIP and ensuring it is a functional tool that supports their continued contributions to the Caltrain Capital Budget. Thank you to the dedicated CIP Team who led us through this process and diligently ensured everyone had the opportunity to shape Caltrain's first 10-Year CIP.

Let's remember these three themes... We're at a historic moment of transformation, this CIP is the result of an agency-wide and TA collaborative effort, and we're all eager for this CIP to guide our future. Now that we have implemented our 10-year CIP, let's keep the momentum going and deliver projects that make Caltrain a world-class travel experience.

Michelle Bouchard, Executive Director



Acknowledgments

Caltrain is grateful to all who dedicated their time and effort to the development of its first formal CIP. From Caltrain's project managers, subject matter experts, and Executive Leadership team, to its three member agencies, the development of the CIP was an agency-wide effort that will provide a roadmap for Caltrain's future investments.

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Additionally, Caltrain wants to share its gratitude to Anthony Simmons and Sebastian Petty who supported the initial scoping of the CIP effort.



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Caltrain 10-Year Capital Improvement Plan

FY2026 - FY2035

Caltrain's first Capital Improvement Plan (CIP) provides an aspirational investment strategy to help achieve its mission, realize its vision, and reinforce its core values. With over 160 years of history, Caltrain, owned and operated by the Peninsula Corridor Joint Powers Board (JPB), remains focused on progress and innovation to meet the region's evolving travel needs while upholding safety and service standards.

The CIP's planning horizon extends from fiscal year (FY) 2026 to FY2035, offering a forward-looking perspective on capital investments to strive for financial stability, operational efficiency, transparency, and accountability. The CIP also offers a tool for the agency to manage its growth and build capacity at all levels. As a living document, the CIP will evolve alongside the agency's changing priorities and the direction of our Board, driving continued success in capital investment management.

Refer to Appendix A and Appendix B for the full 10-Year CIP Portfolio of Capital Projects and Programs.

The CIP also includes the Rolling Program, which examines the first four years of the 10-year time horizon and provides the agency with a financially constrained lookahead.

The Rolling Program is a separate document that readers can find on the Caltrain [website](#).

Mission

Caltrain is a customer-focused rail system offering safe, reliable, accessible, and sustainable transportation service that enhances the quality of life for all.

Vision

To be a vital link in the statewide rail network by improving connectivity to other transit systems, contributing to the region's economic vitality, and partnering with local communities to ensure that diverse constituencies receive a world-class travel experience.

Core Values



SAFETY



EXCELLENCE



RESILIENCE



INTEGRITY



EQUITY AND INCLUSION



SUSTAINABILITY

Executive Summary

00

Over 110 capital projects and programs are Caltrain-initiated and sponsored efforts, divided into five Strategic Initiatives:

- **Provide a Safe and Secure Railroad:** Safety is Caltrain’s core value. This category of projects enables a safe and secure operating environment for all: communities, passengers, and employees.
- **Maintain Core Services:** This Initiative includes capital projects and programs critical to providing core service levels. This encompasses on-going state of good repair (SOGR) programs that allow Caltrain to proactively prevent asset failures, capital projects to replace outdated or obsolete assets, and crucial planning functions.
- **Enhance Service and Customer Experience:** These capital projects and programs procure new assets or upgrade existing assets. They increase the system’s performance, improve customer experience, and enable operational improvements.
- **Deliver the Long-Range Service Vision:** The Caltrain Business Plan identifies these projects as essential for implementing the Board-Adopted Moderate Growth Service Vision of eight trains per hour per direction in the peak period.
- **Mandate, Compliance, and Emergency Projects:** The agency must invest in and implement capital projects per mandates by regulatory agencies or state and/or federal law. Implementation of these projects is typically time-sensitive.

The Long-Range Service Vision is the north star for growing the railroad and becoming a world-class travel experience.

Caltrain is also dedicated to supporting local and regional projects along its corridor, as reflected in two additional Strategic Initiatives:

- **Partner with Local Communities:** This Initiative reflects capital projects developed in partnership with local jurisdictions, including all grade separation projects.

* Totals are shown in FY2024 dollars without escalation

- **Contribute to the Region’s Economic Vitality:** This Initiative includes projects of regional significance, developed in partnership with other agencies.

Additionally, the CIP Portfolio categories capital projects and programs into Discrete Projects and Recurring Programs.

- **Discrete Projects** have a beginning, an end, and an estimated cost to deliver. Discrete projects also include individual studies, assessments, and plan development efforts.
- **Recurring Programs** represent the railroad’s ongoing business and are imperative to fund annually. The majority of these programs are for the maintenance of the railroad, but these programs also include planning activities.

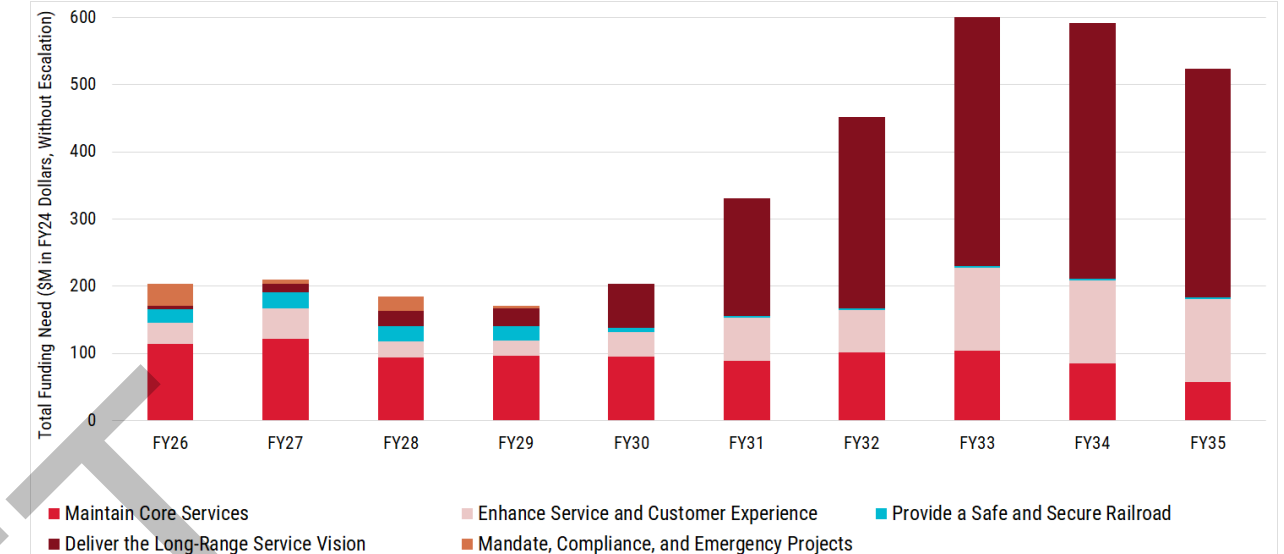
Caltrain’s Capital Projects and Programs

The 10-Year CIP is not financially constrained. Caltrain will need to identify new capital funding strategies and sources to support the recurring SOGR program and to advance enhancement and expansion projects identified in the 10-Year CIP. The funding needs to deliver these projects and programs vary over time and among the Strategic Initiatives.

10-YEAR FUNDING NEEDS PER CALTRAIN-INITIATED AND SPONSORED STRATEGIC INITIATIVE (FY2026-FY2035)

Strategic Initiative	Total Funding Needs (\$M)*
Provide a Safe and Secure Railroad	110
Maintain Core Services	960
Enhance Service and Customer Experience	660
Deliver the Long-Range Service Vision	1,700
Mandate, Compliance, and Emergency Projects	70
Total	3,500

CAPITAL FUNDING NEEDS PER FISCAL YEAR AND STRATEGIC INITIATIVE



Provide a Safe and Secure Railroad

The greatest funding needs to Provide a Safe and Secure Railroad are in the first five years of the 10-year outlook with many investments needed to reduce trespasser intrusion into the active railroad right-of-way and risks to Caltrain’s critical assets.

The Systemwide Closed-Circuit Television (CCTV) System - Replacement and Expansion will replace the old, obsolete CCTV system and integrate the soon-to-be-released FRA compliance requirement. Cameras will be installed at critical grade crossings, stations, and facilities to improve passenger and community safety and security. CCTV also enables Caltrain to always have “eyes” on the railroad and respond to incidents more efficiently, reducing service disruptions’ duration. Caltrain is also advancing a pilot program to test intrusion detection at grade crossings. If the pilot is successful, Caltrain will develop a systemwide program as part of the Safety and Security Strategic Plan.

Mandate, Compliance, and Emergency Projects

Mandate, Compliance, and Emergency Projects currently consist of three projects to be closed out by FY2029. The regulatory environment is constantly changing, and Caltrain cannot plan for unknown

emergency projects, so projects under this Strategic Initiative will continually be monitored and updated.

Maintain Core Services

Funding needs to Maintain Core Services are relatively stable across fiscal years due to the recurring SOGR programs. The funding needs decrease slightly in FY2035 when significant bridges and structures capital projects, including the San Francisquito Creek Bridge Replacement, must be delivered. Built in 1902, the San Francisquito Creek Bridge is one of the oldest assets along the Caltrain corridor and has reached the end of its useful life. Additionally, the bridge location has been experiencing severe storms and high creek flows, eroding the soil on the northern creek bank that supports the bridge. The bridge is a vital link to maintain the continuity of Caltrain’s service and safety of the passengers and employees.

This Strategic Initiative also includes projects to upgrade critical systems: the Fiber Optic System, the Rail Operations Control System (ROCS), the Predictive Arrival and Departure System (PADS), and the Positive Train Control (PTC) System – a train safety system. A major overhaul of the systems will ensure Caltrain stays up to date on technology and can scale future service expansion. Implementation will significantly improve Caltrain’s reliability and customer experience.

Enhance Service and the Customer Experience

The funding needs for projects that Enhance Service and the Customer Experience increase with the procurement of additional trainsets to provide increased and zero-emission service to Gilroy. Procurement is currently planned to start in FY2030. Another major projects in this Initiative is the Level Boarding Program.

Caltrain will pilot a BEMU train to operate between San José and Gilroy where the corridor is not yet electrified. The demonstration of the BEMU will be the first time this technology is in operation on a regional rail train in the United States. If the pilot is successful and additional BEMUs can be acquired, Caltrain will run a fully electric fleet.

Deliver the Long-Range Service Vision

The CIP portfolio of projects also includes transformative investments that will allow for increased train service in the corridor. The Strategic Initiative to Deliver the Long-Range Service Vision includes projects that will enable the Board-Adopted Moderate Growth Service Vision of eight trains per hour, at peak period. The funding needs for the capital projects in this Strategic Initiative begin to increase in FY2030 with initiation of the electric fleet procurement and when major projects enter their construction phase: the Central Equipment Maintenance and Operations Facility (CEMOF) Yard



Capacity Enhancement and the New Signal and Train Control System.

The CEMOF Yard Capacity Enhancement expands the facility to meet the new fleet storage and maintenance needs. The new signaling system and positive train control upgrades will support reduced headways and speed increases along the corridor. The total funding needs does not include the full cost of projects as most of the projects will be completed after 2035.

Partner with Local Communities

Caltrain acknowledges that grade separation projects are costly, complex, and challenging and that local communities desire grade separated crossings due to their safety and transportation benefits for local communities.

Typically, the city/local jurisdiction initiates a grade crossings closure or modification. As the project sponsor, the city is responsible for preparing and executing a funding plan for the project's design and construction.

Contribute to the Region's Economic Vitality

Caltrain is involved in many projects that have regional significance. Depending on the project, its phase, and whether it impacts Caltrain's right-of-way and operations, Caltrain's role in these projects varies but remains essential.

Developing a Decision-Support Tool for the Agency

As stewards of public funds and in a period of scarce resources, Caltrain must ensure appropriate resource allocation by identifying, evaluating, and advancing capital projects that yield the most benefits for its service. In addition to providing the agency with an aspirational roadmap of capital investments, the CIP evaluates capital projects and programs according to a **Prioritization Framework**.

The Prioritization Framework is a tool for weighing Caltrain-initiated and sponsored capital projects and programs against agency values and goals and defining how these help Caltrain achieve its mission statement through four pillars:

1. Safety
2. Reliability
3. Accessibility
4. Sustainability

The results of this evaluation process inform the ranking displayed in the Caltrain 10-Year CIP Portfolio of Capital Projects and Programs (Appendix A).

The Framework helps Caltrain's Board and leadership to:

- Evaluate trade-offs between capital projects competing for the agency's resources
- Support informed decisions on which capital project to advance
- Communicate Caltrain's priorities to partners

The ranking of the list of projects then provides input for a constraining process that considers Caltrain's near-term capacity to deliver capital investments, which is detailed in the **Rolling Program**.

To see details and descriptions for every capital project and program that supports and advances the CIP Strategic Initiatives, refer to:

- **Appendix A – Caltrain 10-Year CIP Portfolio of Capital Projects and Programs**
- **Appendix B – Descriptions and Benefits for Caltrain 10-Year CIP Portfolio of Capital Projects and Programs**
- **Appendix C – List of Definitions, Abbreviations, and Acronyms in this document**





Introduction 01

Introduction

Caltrain's first CIP is an aspirational roadmap that guides capital investments for the next decade. This plan encompasses a portfolio of capital projects and programs, adhering to Caltrain's mission, vision, and core values. It is designed to facilitate decision-making during financial constraints and ridership uncertainties. The CIP identifies and prioritizes capital projects and programs like SOGR, operational improvements, and regional endeavors. As the mission and vision of Caltrain evolve, so will the CIP. The CIP will be updated regularly in parallel with the agency's biennial capital budget cycle.

About Caltrain

2024 marks the 160th Anniversary of rail service between San Francisco and San José, the oldest continually run railroad west of the Mississippi. The system known today as Caltrain began in 1992 when the JPB took over the operation of the train, which now offers service to Gilroy.



The Caltrain service is evolving due to shifts in demographics, employment, climate goals, and the needs of residents and visitors in the Bay Area. Caltrain now operates electrified service on the San Francisco to San José main line with state-of-the-art electric-powered trainsets.

To meet its riders' changing needs, Caltrain is also shifting from a typical commuter-style railroad that provides peak period service to a more frequent all-day regional rail service that better aligns with various work shifts and travel needs.

As an agency, the mission, vision, and core values guide Caltrain:

Mission: Caltrain is a customer-focused rail system offering safe, reliable, accessible, and sustainable transportation service that enhances the quality of life for all.

Vision: To be a vital link in the statewide rail network by improving connectivity to other transit systems, contributing to the region's economic vitality, and partnering with local communities to ensure that diverse constituencies receive a world-class travel experience.

Core Values:



Caltrain Governance

The JPB, which owns and operates Caltrain, consists of representatives from:

1. City and County of San Francisco
2. San Mateo County
3. Santa Clara Valley Transportation Authority (VTA)

In 2022, the JPB was authorized to designate an independent, permanent Caltrain Executive Director and dedicated Caltrain staff responsible for safety, design and construction, planning, and railroad operations oversight, among other functions. The San Mateo County Transit District (SMCTA) continues to serve as Caltrain's managing agency, providing shared services, such as contracts and procurement, accounting, treasury, and marketing and communications.

Funding Caltrain

In 2020, San Francisco, San Mateo, and Santa Clara County voters approved **Measure RR**, a one-eighth of a percentage sales tax for 30 years dedicated to Caltrain. It marked the first time that Caltrain has a dedicated funding source to support operation and capital.

Additionally, Caltrain receives various funding sources to deliver its capital projects and programs. Each funding source has its own sets of policies, eligibility requirements, and governing bodies. They can be categorized as follows:

- Member agencies' capital contributions: through local tax measures, each member agency provides funding for capital projects. The contributions vary each year.
- Regional Measure 3: funding for Bay Area highway and transit improvements through an increase in tolls on the region's seven state-owned toll bridges.
- Formula funding from state and federal sources: formula funding sources come primarily from cap-and-trade, sales, and gas taxes.
- Competitive funding from state and federal sources: competitive grants cover various capital projects; eligibility criteria vary.

The Caltrain Corridor

The Caltrain corridor runs 77.2 miles. Caltrain owns 52 miles from the northern end terminal in San Francisco to control point (CP) Lick, south of Tamien Station in San José. Union Pacific Railroad (UPRR) owns the remaining 25.2 miles south of CP Lick until Gilroy, wherein Caltrain operates with a shared use agreement.

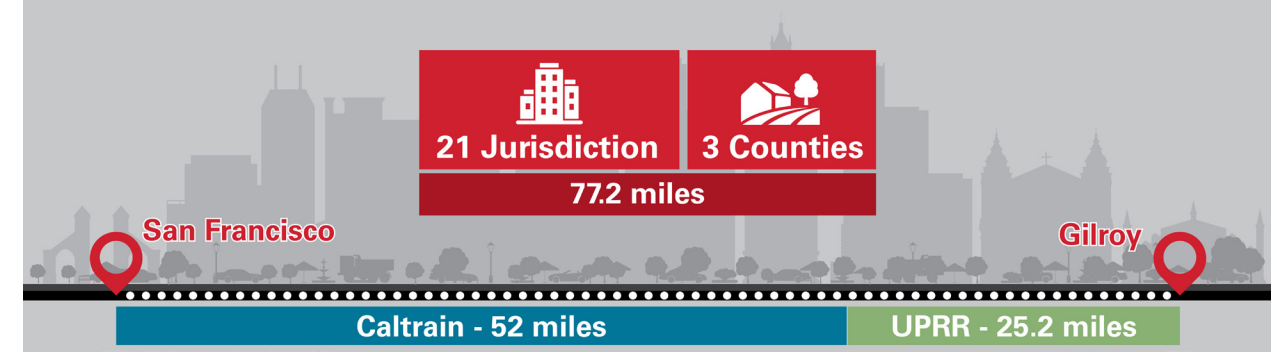
Caltrain serves 31 stations. Caltrain owns most of the stations between San Francisco and Tamien, but also shares some assets with other owners. For example:

- Prologis owns the San Francisco 4th and King Station and adjacent railyard, and Caltrain has a perpetual operating right to the property.
- VTA owns the stations south of the Diridon-San José Station.
- Other passenger and freight rail services have agreements with Caltrain to use its tracks. This is particularly relevant at Diridon-San José Station where Amtrak Capitol Corridor and Altamont Corridor Express (ACE) have platforms.

Caltrain is responsible for approximately \$6.6 billion worth of assets to operate its system and deliver passenger rail service, as shown in the following diagram.

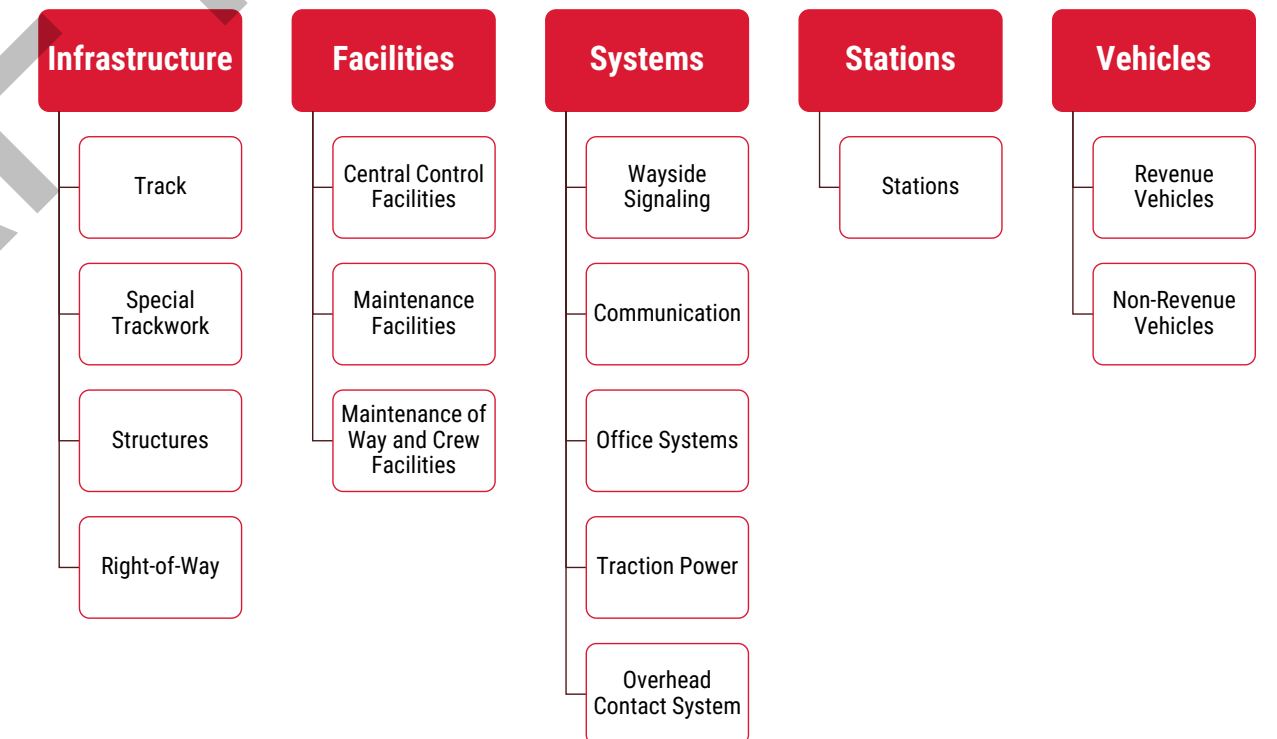


OVERVIEW OF CALTRAIN CORRIDOR



Images Created by CCS Team <https://www.caltrain.com/projects/ccs>

CALTRAIN FEDERAL TRANSIT ADMINISTRATION (FTA) ASSET CATEGORIES AND ASSET CLASSES



Caltrain's First 10-Year CIP

02

Caltrain's First 10-Year CIP

This first CIP illustrates how Caltrain intends to invest its agency resources and funding in a portfolio of capital projects and programs over the next 10 years. It aligns with the agency's mission, values, and Board-adopted commitments, such as the Long-Range Service Vision.

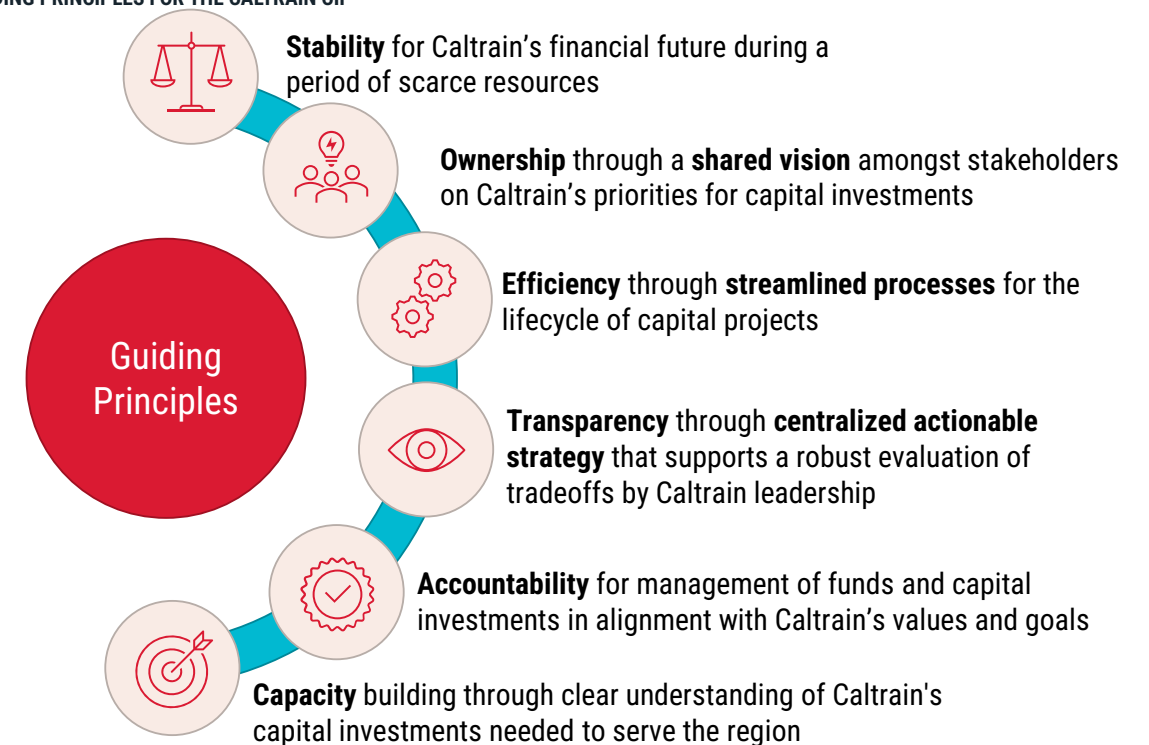
The CIP provides effective decision-making and prioritization tools in a period of financial constraint and uncertain ridership growth. It addresses the need to balance the completion of Caltrain's capital projects and programs, such as SOGR and operational improvements/enhancements work, with local jurisdictions' projects and megaprojects of regional and statewide significance. It has been developed following the guiding principle presented below.

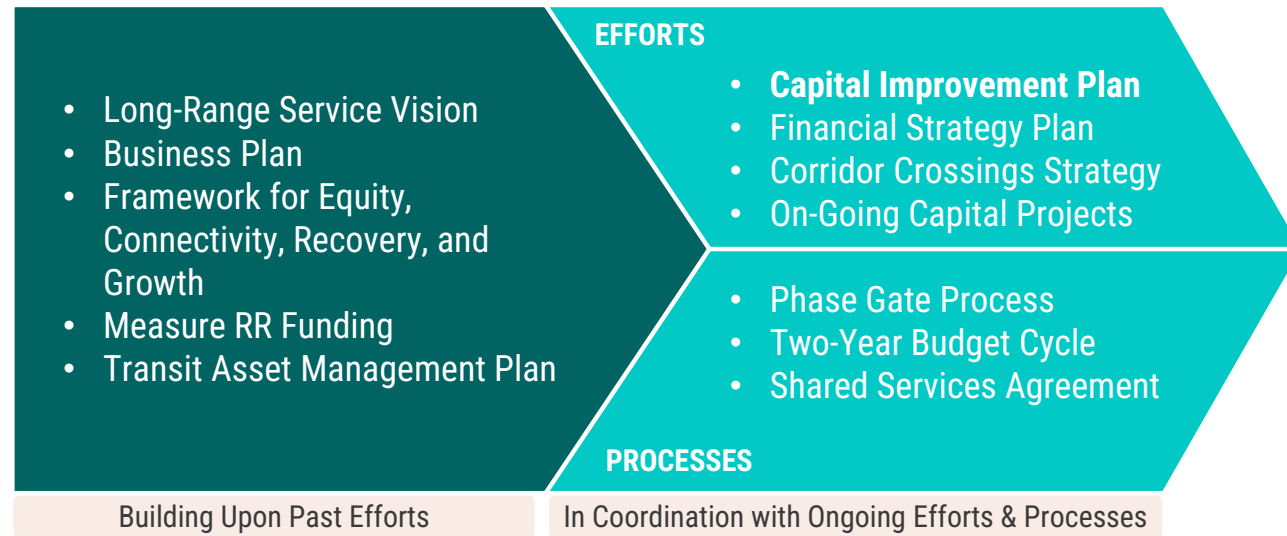
Guiding Documents that Support the CIP

Caltrain developed the CIP alongside significant undertakings such as the Caltrain Financial Strategy and the Corridor Crossings Strategy.

The development of the CIP is particularly timely as the agency implements new and revised processes for capital investments and delivery. These include the enhanced Phase Gate Process, restructured in 2021, which supports the Caltrain Management Committee that ensures capital projects and programs proceed in alignment with Caltrain's business objectives and meet performance criteria. Capital projects tracked through the Management Committee process are reported in the Caltrain Quarterly Status Reports, published quarterly on the agency's [website](#).

GUIDING PRINCIPLES FOR THE CALTRAIN CIP





The primary planning document directing Caltrain’s evolution is the Caltrain **Business Plan**, which details Caltrain’s Board-Adopted Long-Range Service Vision to grow Caltrain into a world-class regional railway and provide a vital link in a growing regional and megaregional rail network. The Board-Adopted Long-Range Service Vision is a critical policy action that sets a specific goal for the railroad to work toward and helps focus its resources on critical planning, organizational, and implementation work.

The Business Plan called for Caltrain to study and develop a corridor-wide approach to planning and delivering grade crossing projects. Grade crossing projects require Caltrain involvement throughout all delivery phases and compete for limited staff and funding resources. Launched in 2022, the **Corridor Crossings Strategy** will enable streamlined and reliable project delivery, develop a corridor-wide approach to grade separation projects, and strengthen Caltrain’s relationships with local partners.

Complementing the Business Plan, Caltrain developed and adopted the **Framework for Equity, Connectivity, Recovery, and Growth** during the COVID-19 pandemic. The framework guides Caltrain to advance policies and actions that advance equity and incrementally implements the Board-Adopted Long-Range Service Vision.

The **Transit Oriented Development (TOD) Policy** seeks to promote sustainable transportation, create value to reinvest in the railroad, offer equitable access, and establish station areas as complete communities.

In parallel with the development of this CIP, Caltrain has updated its 2010 **Comprehensive Access Program Policy Statement** to support decision-making on access-related projects, align the Policy with other Caltrain policies and current initiatives, and incorporate the latest industry best practices in station access improvements. Caltrain adopted the Updated Caltrain Station Access Policy in September 2024.

The **Rail Corridor Use Policy (RCUP)** guides decision-making for capital projects regarding the compatibility of proposed non-railroad uses with the railroad’s current and future needs. Caltrain expects to update the RCUP in the next two years.

Alongside ambitions to grow the service, Caltrain must maintain its existing assets to ensure safe and reliable daily operations. The **Transit Asset Management (TAM) Plan** promotes a culture of managing existing assets and keeping them in a SOGR to ensure that the agency continues providing safe, reliable, high-quality passenger rail service.

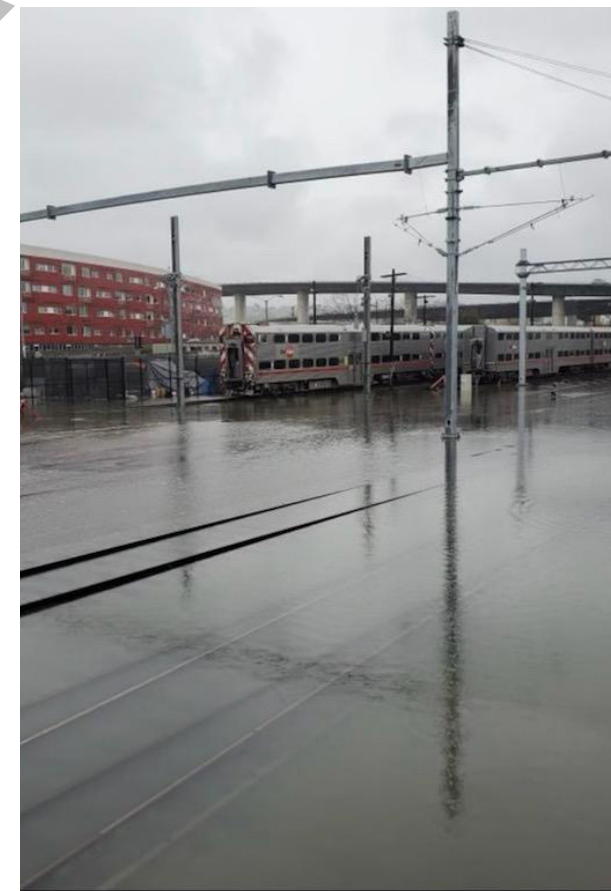
The Caltrain **System Safety Program Plan’s (SSPP)** overall goal is to achieve the highest practicable

level of safety for all Caltrain passengers, employees, contractors, and the public. The SSPP coordinates with the TAM Plan in maintaining assets in SOGR to identify, eliminate, minimize, and control hazards and their risks by setting processes and procedures.

Caltrain is leading multiple parallel efforts addressing sustainability:

- It is reporting on its greenhouse gas (GHG) emissions and energy consumption through its **Sustainability Report**, updated regularly.
- It is currently defining its vision for sustainability and climate resilience in its **Strategic Sustainability Plan** process, anticipated in 2025.
- Caltrain is also evaluating the vulnerability of its assets to climate changes.

Results of those efforts will be including in an update to the CIP through new capital projects and updates to the sustainability criteria in the prioritization framework.



Developing a Decision-Support Tool for the Agency

As stewards of public funds and in a period of scarce resources, Caltrain must ensure appropriate resource allocation by identifying, evaluating, and selecting the capital projects that yield the most benefits to Caltrain. The Prioritization Framework is the tool that allows for a robust evaluation of tradeoffs.

The ranking of the projects and programs then provides input for a constraining process that considers Caltrain’s near-term resources’ capacity to deliver projects and programs, including projects initiated by local jurisdictions and regional agencies.

The Prioritization Framework tool will evolve in parallel to future agency values and goals.

Prioritization reflects how the capital projects and programs in the 10-Year CIP align with Caltrain’s values and goals.

Constraints refine the prioritized capital projects and programs in the 10-Year CIP to what Caltrain can deliver over the next four years.

Ranking Projects Using the Prioritization Framework

The Prioritization Framework align the CIP Portfolio of capital projects and programs with agency values and goals. Caltrain-initiated and sponsored capital projects and programs are evaluated based on the **Caltrain mission statement**, using four pillars: **Safety, Reliability, Accessibility, and Sustainability**.

Each of these pillars includes evaluation criteria to measure the benefits that a project or program will provide.

Only projects and programs within the following Strategic Initiatives were evaluated through the tool:

- *Provide a Safe and Secure Railroad*
- *Maintain Core Services*
- *Enhance Service and Customer Experience*
- *Deliver the Long-Range Service Vision*

Projects included in the *Partner with Local Communities* and *Contribute to the Region's Economic Vitality* are not evaluated for how they align with Caltrain's values and goals since local jurisdictions or regional agencies initiate them and the projects serve a local or regional purpose and need. *Mandate, Compliance, and Emergency Projects* are evaluated depending on the timing of their implementation.

The tool scores capital projects and programs on the magnitude (Significant, Moderate, Minimal, or Not Applicable) of the benefit they provide for each criterion.

- **Safety** is given the highest weight, since "safety first and always" is a Caltrain core value.
- **Reliability**, which focuses on maintaining SOGR and improving service reliability, is given the second highest weight, since it is essential to a world-class passenger travel experience and to regain ridership.

- **Accessibility** and **Sustainability** are given equal weight.

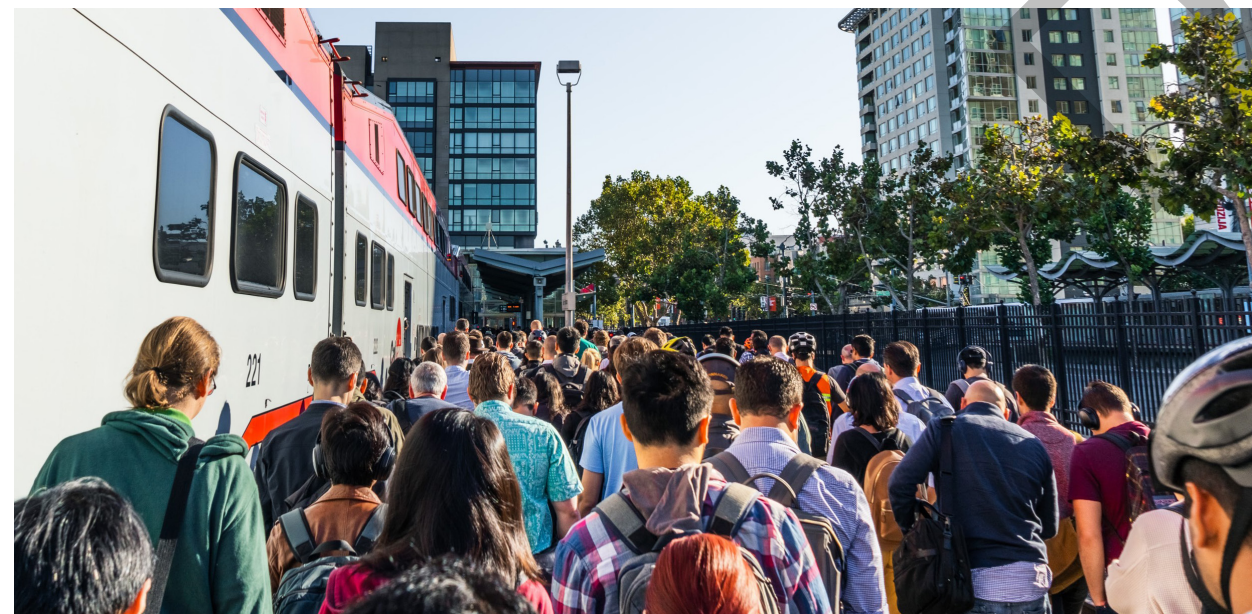
» Following the electrification and related service disruptions throughout the past years, the Inclusive Passenger Experience is essential to attract new and keep existing riders and, therefore, weighted accordingly within the Accessibility pillar.

» To address the operating deficit, the financial sustainability of capital projects and programs, which refers to operations and maintenance (O&M) costs and potential revenue generation, is given the highest weight within the Sustainability pillar.

The highest scores rank first.

Having one cumulative score for each project and program in the CIP provides flexibility. Projects and programs can be ranked altogether or within each Strategic Initiative.

Appendix A provides the prioritization ranking of discrete projects and recurring programs within their Strategic Initiative.



PRIORITIZATION FRAMEWORK - EVALUATION CRITERIA

<p>SAFETY Improves safety for all and mitigates risks to a safe operating environment.</p> <p>Passenger and Community Safety and Security Improving passenger and community safety and security while accessing, using, or interfacing with Caltrain service and facilities.</p> <p>Employee Safety and Security Providing Caltrain employees and all other railroad workers a safe and secure environment.</p> <p>Systemwide Safety and Security Improving an asset to lower its risk hazard probability rating that, if not addressed, will affect other parts of the system or put other assets at risk.</p>	<p>RELIABILITY Improves system performance.</p> <p>Asset Reliability Improving the useful life of an asset to avoid disruptions and financial losses.</p> <p>Asset Monitoring Improving ongoing asset monitoring to maintain assets in a state of good repair.</p> <p>Service Performance Delivering projects and programs that improve Caltrain's service performance.</p>
<p>ACCESSIBILITY Improves equitable access and overall passenger experience.</p>	<p>SUSTAINABILITY Improves the longevity and durability of infrastructure, finances, and the natural environment.</p>
<p>System Access Improving access to and from the railroad system, per Caltrain's Access Policy.</p> <p>Inclusive Passenger Experience Improving equity and the passenger experience for all, including underserved rider populations.</p>	<p>Climate Resiliency Improving or adapting assets' resiliency to climate change, severe weather, and/or natural disasters.</p> <p>Environmental Stewardship Sustaining the natural environment by either providing a benefit to or reducing or eliminating environmental impacts to the natural environment.</p> <p>Financial Sustainability Contributing the Caltrain's financial stability.</p>

10-Year Capital Needs

Capital projects and programs vary in funding needs, ownership of the right-of-way, and sponsorship. All require Caltrain staff involvement to varying degrees. Early identification of capital projects and programs is critical to planning and allocating resources (staff and funding) accordingly.

Defining Capital Projects and Programs

The portfolio organizes over 140 capital projects and programs into seven Strategic Initiatives, further defined in the following chapters.

1. Provide a Safe and Secure Railroad
2. Maintain Core Services
3. Enhance Service and Customer Experience
4. Deliver the Long-Range Service Vision
5. Mandate, Compliance, and Emergency Projects
6. Partner with Local Communities
7. Contribute to the Region's Economic Vitality

Projects and Programs with Systemwide Benefits

During the Spring and Summer of 2024, Caltrain met with their member agency TAs to define capital projects and programs that provide **systemwide benefits**.

A systemwide capital project is defined as a project critical to deliver Caltrain's main line service or that provides benefits to all customers, regardless of the project's location. Projects that qualify as "systemwide" include:

Category 1:

State of Good Repair (SOGR) projects that replace or rehabilitate an asset at the end of its useful life, have low redundancy, or have reached technical obsolescence, and that are critical to running or maintaining Caltrain passenger service safely. If that asset fails, it impacts Caltrain's ability to operate its main line service.

Category 2:

Recurring capital programs that enable Caltrain to take proactive measures to run its passenger

service safely and avoid asset failures that would disrupt Caltrain's service.

Category 3:

Recurring planning programs that enable Caltrain to deliver its service and develop the roadmap of capital investments.

Category 4:

Capital projects or programs that have been identified in a planning study that covers the entire main line corridor and that provide benefits to Caltrain's main line Service in terms of:

- Safety and security
- Reliability
- Customer experience
- Performance

Category 5:

Projects that are mandates required by a regional, state, or federal regulatory agencies.

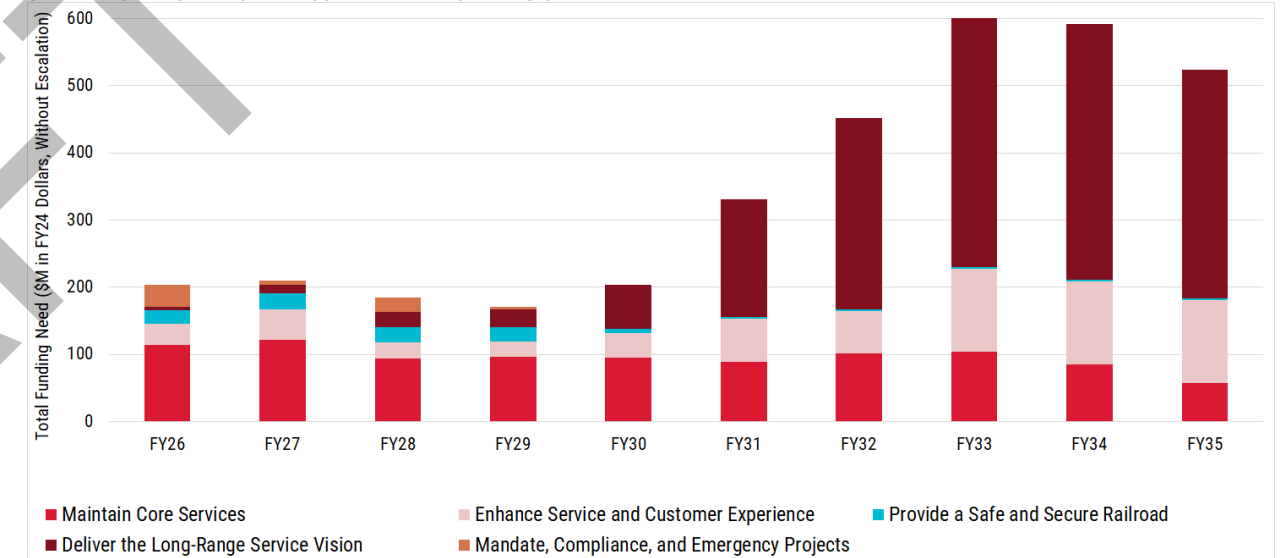
FY2026 - FY2035 Funding Needs

The 10-Year CIP is not financially constrained. Caltrain will need to identify new capital funding strategies and sources to support the recurring SOGR program and to advance enhancement and expansion projects identified in the 10-Year CIP. The funding needs to deliver these projects and programs vary over time and among the Strategic Initiatives for Caltrain-initiated and sponsored capital projects and programs.

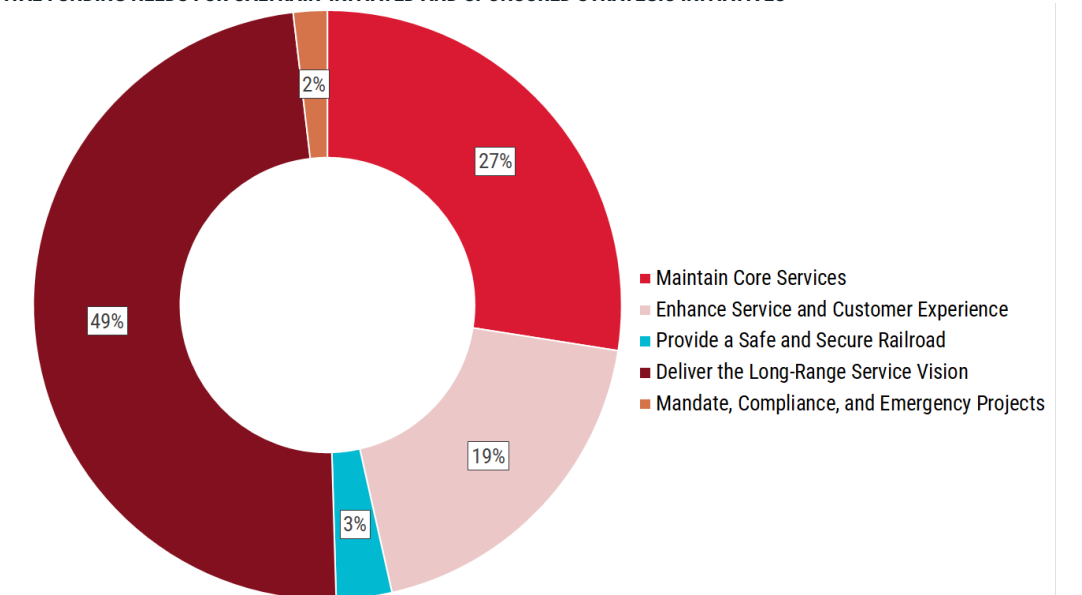
10-YEAR FUNDING NEEDS PER CALTRAIN-INITIATED AND SPONSORED STRATEGIC INITIATIVE (FY2026-FY2035)

Strategic Initiative	Total Funding Needs (\$M)*
Provide a Safe and Secure Railroad	110
Maintain Core Services	960
Enhance Service and Customer Experience	660
Deliver the Long-Range Service Vision	1,700
Mandate, Compliance, and Emergency Projects	70
Total	3,500

CAPITAL FUNDING NEEDS PER FISCAL YEAR AND STRATEGIC INITIATIVE



DISTRIBUTION OF CAPITAL FUNDING NEEDS FOR CALTRAIN-INITIATED AND SPONSORED STRATEGIC INITIATIVES



* Totals are shown in FY2024 dollars without escalation

Integration of the CIP with Existing and Future Processes

The CIP is an aspirational investment strategy that helps Caltrain achieve its mission, realize its vision, and reinforce its core values. The 10-year lookahead enables Caltrain to advance critical projects, seek funding for Caltrain's most vital projects and programs, sequence its capital needs, and bundle project construction, as appropriate.

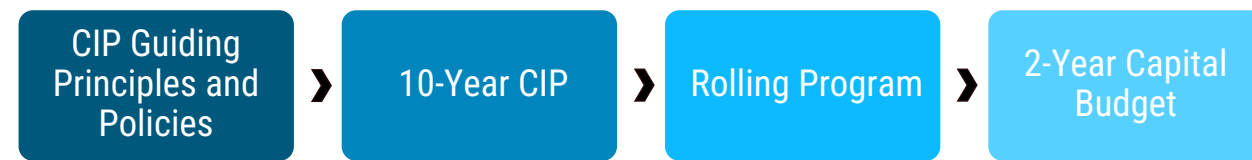
The 4-Year Rolling Program of the CIP will constrain the projects and programs to what Caltrain has the capacity to deliver over the first 4-year period of the 10-year time frame. The constraining process is part of the Prioritization Framework and considers

project readiness, financial conditions, staff resources, and priority ranking.

Each component of the CIP are living tools to ensure they evolve and grow with the agency and the region's needs. Caltrain will regularly update the CIP with its biennial budget cycles.

The development of the 10-Year CIP was the first step in identifying the need to rethink processes that enhance Caltrain's ability to plan, evaluate, prioritize, and report on its capital improvement program. Caltrain will continue to improve processes that:

- Add new projects and programs to the CIP
- Collect data that supports the prioritization process in future iterations of the CIP
- Report on active capital projects and programs



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To see details and descriptions for every capital project and program that supports and advances the CIP Strategic Initiatives, refer to:

- **Appendix A – Caltrain 10-Year CIP Portfolio of Capital Projects and Programs**
- **Appendix B – Descriptions and Benefits for Caltrain 10-Year CIP Portfolio of Capital Projects and Programs**
- **Appendix C – List of Definitions, Abbreviations, and Acronyms in this document**

Strategic Initiatives of the FY2026-FY2035 CIP

03

Provide a Safe and Secure Railroad

Safety first and always is Caltrain's core value and creates the baseline of a strong safety culture. With the launch of the electrified service, Caltrain must remain focused on safety and is acutely aware of the challenges involved in implementing projects on and operating and maintaining an active electrified rail corridor.

In the past few years, Caltrain has taken several proactive steps to reinforce a safety culture within every aspect of its agency. These steps include implementing enhanced roadway worker protection processes, creating several layers of redundancy in clearing track and time, and creating the first dedicated Caltrain Chief Safety Officer empowered to implement new safety procedures.

Caltrain reflects its dedication to safety in this Strategic Initiative to **Provide a Safe and Secure Railroad** for all: passengers, adjacent communities, and employees.

This Strategic Initiative includes 10 discrete projects and three recurring programs. These interconnected projects and programs address critical locations

with the highest safety and security concerns along the corridor, including at-grade crossings and stations. These locations present risks associated with vehicle track incursions and trespasser intrusion that could result in derailment, injury, or death. The completion of the electrification of the corridor has brought additional assets and introduced new risk factors. Implementing capital projects in this Strategic Initiative will also ensure that Caltrain secures and monitors the latest electrification-related assets, such as the Electric Multiple Unit (EMU) trainsets, to reduce crimes to Caltrain's property.

10-Year CIP Funding Need for this Strategic Initiative

Discrete Projects:	\$60M
Recurring Programs:	\$50M



Project Spotlights

Program of Interconnected Safety and Security Projects:

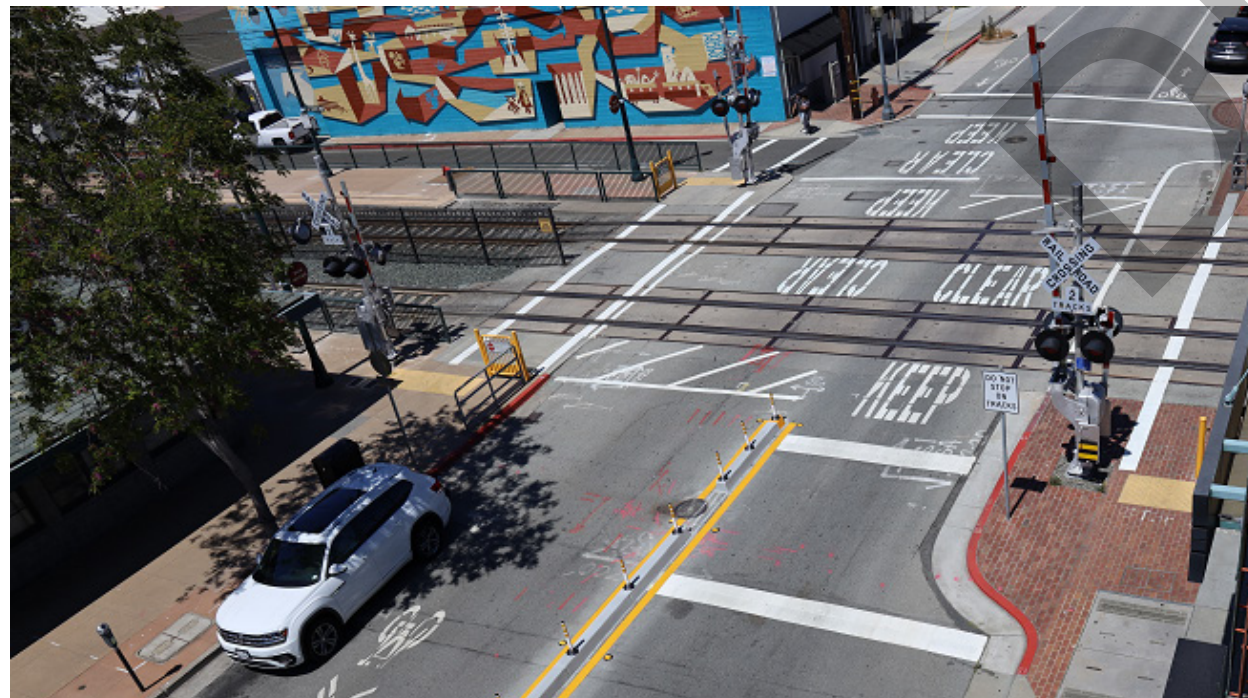
Several capital projects and programs illustrate how Caltrain intends to reduce hazards and risks of vehicle track incursions and trespasser intrusion.

For several years, Caltrain has been implementing a **Right-of-Way Fencing Program** to limit intrusion along the right-of-way. Caltrain also continues to improve at-grade crossings through its **Grade Crossing Improvement Programs**. A new program will identify crossings to be prioritized and improved through an *updated Grade Crossing Risk Analysis* process, performed every three to four years.

The **Safety and Security Strategic Plan** aims to identify high-risk safety and security items and develop strategies to mitigate them. Pilot projects inform the Strategic Plan, which also identifies several capital projects, such as right-of-way improvements, signage, lighting, fencing, and technology provisions to provide a safe and secure railroad for all.

The **Systemwide CCTV System - Replacement and Expansion Program** will replace the old, obsolete CCTV system and integrate the soon-to-be-released FRA compliance requirement. Cameras will be installed at critical locations, such as grade crossings, stations, and facilities, to proactively address any safety and security issues that may arise.

The **Intrusion Detection Pilot Program** will plan, procure, and install hardware along the right-of-way at critical locations, such as grade crossings, tunnels, and other high-risk right-of-way locations, to detect trespasser activities and enable quick and efficient response. If the pilot is deemed successful, the Safety and security Strategic Plan will do a systemwide review of additional locations where Caltrain can apply the intrusion detection technology.



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Maintain Core Services

With the completion of the corridor electrification and more than 160 years of railway history, Caltrain has a unique blend of new and old capital assets to maintain. The **Maintain Core Services** Strategic Initiative focuses on meeting the life-cycle investment needs of the critical assets to keep baseline service running reliably and minimize service disruptions.

The 2022 TAM Plan outlines the agency's TAM approach and states that:

Caltrain is committed to sustainably maintaining its assets in a State of Good Repair to deliver a safe and reliable passenger rail service. This commitment will be ensured through financial stewardship and resource allocation, promoting a culture that supports asset management across the agency, and focusing on high-quality information to provide the foundation for a risk-based approach to decision-making.

Caltrain is responsible for approximately \$6.6 billion of assets. Caltrain previously had insufficient funding to address its SOGR needs, resulting in a backlog. A large part of this backlog includes old, inherited infrastructure. Several bridges and civil structures nearing or beyond their useful life need replacement, which requires significant investments. Additionally, many system assets have reached technology obsolescence and need an upgrade.

Finally, brand-new Traction Electrification System (TES) assets introduced as part of the corridor electrification must be maintained, requiring ongoing annual funding.

Ongoing maintenance programs paired with the delivery of discrete renewal projects must receive ongoing and dedicated funding to ensure repair are done on a timely basis.

This Strategic Initiative includes 33 discrete projects and 22 recurring programs critical to ensuring Caltrain maintains the ability to provide safe and reliable service, including:

- Recurring programs to maintain assets in good condition to deliver safe and reliable service.
- Discrete projects to replace assets at the end of their useful life or that have reached technical obsolescence.
- Key planning functions and initiatives.

10-Year CIP Funding Need for this Strategic Initiative

Discrete Projects: \$470M

Recurring Programs: \$490M



Project Spotlights

San Francisquito Creek Bridge Replacement:

The San Francisquito Creek Bridge is one of the oldest assets along the Caltrain corridor and carries two mainline tracks and is beyond its useful life. Additionally, the bridge location has been experiencing severe storms and high creek flows that have eroded the soil on the northern creek bank that supports the bridge, which Caltrain is addressing through the **Creek Bank Stabilization** project.

The **permanent replacement project** is designed to maintain safe rail operations over the bridge, protect the creek itself, and reinforce the creek's bank.

Additionally, to monitor potential cracks and damages of the structure, Caltrain will procure and install an **Acoustic Monitoring System** to ensure timely action.



Program of Interconnected System Technology Projects:

The CIP includes a program of projects to modernize Caltrain's systems due for a technology refresh. Caltrain will phase this program to improve the resiliency and scalability of its systems. Three critical projects address the backbone of the systems:

- The **Fiber Optic Permanent Repair**. Fiber optic is the backbone of all critical operational train control systems and broadband communication infrastructure. The fiber optic infrastructure connects the dispatch centers, central office, and cloud services for system redundancy, resiliency, cybersecurity, and disaster recovery in major outages or cyber-attacks. The fiber optic system has deteriorated and sustained

damage, and needs to be permanently repaired as soon as possible.

- The **Network Architecture Redesign**. Caltrain could concurrently deliver the Network Architecture Redesign project to address network design limitations. This project seeks to evaluate and improve the network design by introducing redundant communication pathways to reduce the impact of single-point failures that result in train delays and catastrophic downtimes.
- The **PTC Back Office System (BOS) - Technology Refresh and Replacement**. PTC is the FRA-mandated train control safety system that controls train movement in the event of human error. The PTC BOS - Technology Refresh and Replacement project will procure a new PTC BOS that is modern, supported, and meets evolving industry standards.

Control Centers Power Resiliency and Enhancement:

The Control Centers Power Resiliency and Enhancement project represents the initial phase of a larger effort to overhaul and modernize Caltrain's train control data center infrastructure necessary to deliver revenue service. The uninterruptible power supply (UPS) at the San José Control Center (SJCC) is beyond its useful life, undersized, and has failed multiple times. This project will then evaluate the existing system and provide recommendations for infrastructure and system enhancements at the train control data centers.

SOGR Programs:

Numerous recurring SOGR programs maintain safe, reliable, and high-quality service and enable future service increases and operational enhancements possible. They cover the maintenance of critical assets including vehicles, stations and facilities, bridges and civil structures, right-of-way, tracks, and systems.

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Enhance Service and Customer Experience

The November 2023 Ridership Recovery Survey found that Caltrain remains a favorable travel option but explored key barriers to ridership recovery. Key findings showed that barriers to mode shift to transit are largely convenience-related and include concerns relating to trip time, service frequency, and proximity to stations. The **Enhance Service and Customer Experience** Strategic Initiative includes capital projects and programs to improve the system to attract new customers while enhancing the travel experiences of existing riders.

This Initiative builds upon the work done as part of the Caltrain's corridor [electrification](#) project. Electrified service provides riders with faster transit times, more frequent service, including during weekends, and increased amenities like on-board Wi-Fi and electrical outlets at every seat. Projects and programs that **Enhance Service and Customer Experience** typically include procuring new assets

or upgrading existing assets that aim to increase the system's performance and provide customer-focused improvements. These improvements include projects and programs that address customer experience (signage and wayfinding, station access, and accessibility improvement), operational improvements (software upgrades), community benefits, and sustainability and resiliency adaptations.

This Strategic Initiative includes 30 discrete capital projects and five recurring programs.

10-Year CIP Funding Need for this Strategic Initiative

Discrete Projects: \$640M

Recurring Programs: \$20M



Project Spotlights

Predictive Arrival/Departure System Modernization:

The **Predictive Arrival/Departure System (PADS)** is a critical system that receives input on the location of a train, makes train arrival time predictions, and provides output to the passenger messaging systems at stations (such as the Visual Message System (VMS)) and to external data feeds such as Caltrain.com and MTC511. The existing PADS was deployed in 2014 and has reached the end of its useful life. The PADS modernization will provide significant benefits to the riders by:

- Improving the train arrival prediction performance and accuracy.
- Improving resilience to operational needs and communication to passengers, such as single-tracking, reverse running, and unscheduled rerouting or track changes into terminal stations.
- Updating interfaces to passenger messaging systems.
- Enabling a modernized digital audio system.
- Providing real-time train data for passengers, namely General Transit Feed Specification (GTFS).

Digital Customer Displays (Multi-Level Stations):

Messaging systems also need to be refreshed and expanded. The CIP includes a project to install digital customer displays with text-to-speech capabilities at station entrance areas. The Customer Experience Task Force identified this solution to address the inconvenience that riders experience at multi-level stations where they need to walk up or down the stairs, or long distances to be able to see and hear the VMS/Public Address (PA) announcements about various alerts.

Stations and Trains Accessibility:

As a legacy system, Caltrain does not currently provide level boarding access to its passenger

cars. As Caltrain modernizes the system, it commits to ensure safe and accessible boarding for people of all abilities. Currently, boarding for people with disabilities is achieved through wayside lifts, conductor-operated lifts, and mini-high platforms. Caltrain will install **mini-high platforms** at all stations to support EMU service and to improve accessibility to the passenger car as an intermediate step to **universal level boarding**. Additionally, Caltrain is supporting the City and County of San Francisco in delivering the **22nd Street Station Americans with Disabilities Act (ADA) improvements** that will install ramps and other improvements to ensure the station is accessible to all.

Universal Level Boarding brings significant safety and accessibility benefits to all passengers. Additionally, it allows for faster boarding and alighting to support enhanced service levels and schedule reliability, reducing train dwell times at stations. But implementing level boarding is a complex, expensive, and long-term program. Caltrain recently developed a roadmap of cost-effective improvements the agency can undertake with platform raising.



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Deliver the Long-Range Service Vision

The Deliver the Long-Range Service Vision

Strategic Initiative includes the program of capital projects that must be advanced over the next 10 years to implement the Board-Adopted Long-Range Service Vision for Caltrain service.

The Service Vision development process identified multiple rail service growth scenarios for Caltrain over the long term, which the agency evaluated based on benefits, costs, and impacts. The JPB adopted the Moderate Growth Service Vision of eight trains per hour per direction at peak periods and directed the agency to continue planning for a higher growth scenario.

Caltrain's Board-Adopted Long-Range Service Vision directs the railroad to plan for substantially expanded rail service that will address the local and regional mobility needs of the corridor while supporting local economic development activities by being mindful of the completion of key regional and state partner projects. These projects are identified as part of the *Partner with Local Communities* and *Contribute to the Region's Economic Vitality* Strategic Initiatives.

Caltrain's electrification lays the foundation for implementing the vision by enabling a more frequent, fast and reliable service. It also allows for future blended service with California High-Speed Rail (HSR) wherein Caltrain and HSR will share tracks within the existing corridor. This Strategic Initiative focuses on six discrete projects that Caltrain can initiate over the next 10 years to advance the Board-Adopted Long-Range Service Vision. Improving Caltrain service requires investment across multiple areas.

1. 4-Track Station and Grade Separation at Redwood City Station
2. New Signal and Train Control System
3. Systemwide Electric Fleet Expansion

4. Platform Lengthening Needs Assessment
5. CEMOF Yard Capacity Enhancement
6. Train Control Crossover Signaling in the Diridon-San José Station Area

Implementing the highly complex, expansion projects needed for the Board-Adopted Long-Range Service Vision requires strategic planning. The update to the Business Plan will refine the capital approach periodically to ensure the program continues to reflect Caltrain's needs.

10-Year CIP Funding Need for this Strategic Initiative

Discrete Projects:	\$1,700M
Recurring Programs:	N/A



Project Spotlights



4-Track Station and Grade Separations at Redwood City Station:

Caltrain and the City of Redwood City are studying and planning for a relocated and elevated four-track transfer station and passing tracks in the downtown area, which also includes six grade separations in Redwood City: Whipple Avenue, Brewster Avenue, Broadway, Maple, Main, and Chestnut. The four-track station project is critical to advancing the Adopted Long-Range Service Vision that will allow transfers between Express and Local Trains. In 2022, Caltrain and the City completed the selection of the locally preferred alternative and the next step is to secure funding for preliminary engineering and environmental clearance.

New Signal and Train Control System:

More frequent and faster service requires systems that allow trains to safely and seamlessly operate closer together by improving the precision of train location and stop detection. Implementing the Program of Interconnected System Technology Projects and the new PADS lays the foundation for a modernized signaling and train control system. New signal and train control systems will provide significant safety and reliability benefits and will allow shorter headways and higher operating speed.

CEMOF Yard Capacity Enhancement:

CEMOF accommodates inspections, maintenance, repairs, train washing, and storage and is the “nerve center” of Caltrain. This project will optimize CEMOF to accommodate the storage and maintenance of a more extensive electrified fleet needed for the Board-Adopted Moderate Growth Service Vision.



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Mandate, Compliance, and Emergency Projects

The Mandate, Compliance, and Emergency Projects Strategic Initiative includes must-do projects that Caltrain is required to implement by regulatory agencies or under state and federal law. It also includes projects that require immediate advancement and implementation due to an emergency. Projects that address mandates or compliance requirements are usually time-bound.

The regulatory environment is constantly changing, and Caltrain cannot plan for unknown emergency projects, so projects within this Strategic Initiative will be continually monitored and updated.

Many SOGR programs include mandate and compliance elements but are not included in this Strategic Initiative. The nature of the SOGR needs and their intent to maintain reliable and safe operations is ongoing.

This Strategic Initiative includes three discrete projects.

10-Year CIP Funding Need for this Strategic Initiative

Discrete Projects: \$70M

Recurring Programs: N/A

Non-Revenue Vehicle Fleet Electrification:

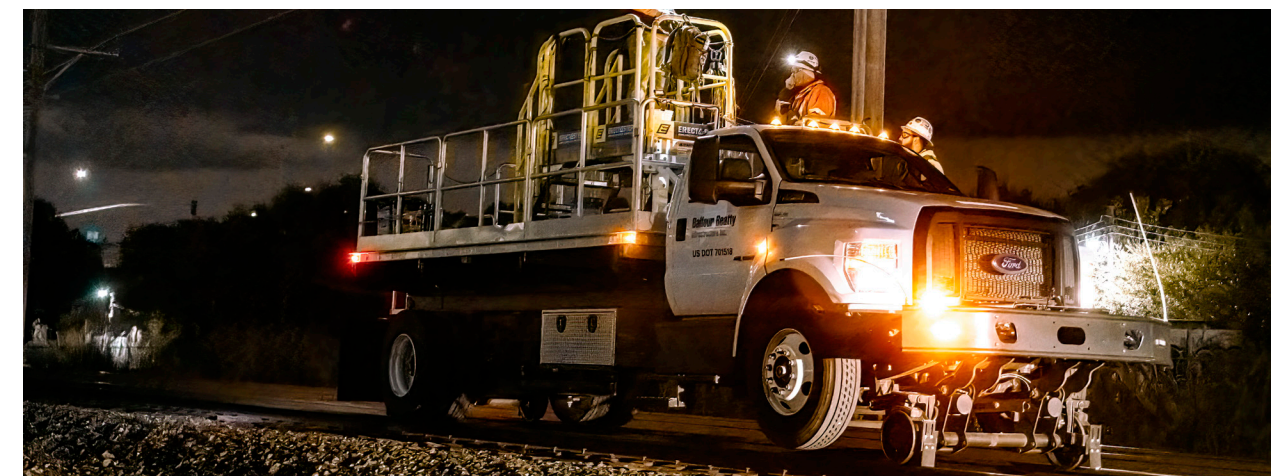
Per the Advanced Clean Fleets Regulation, state and local governments require that 50% of current vehicle purchases are zero-emission followed by 100% of vehicle purchases by 2027. This program will assess the needs, plan for, and implement the appropriate infrastructure to charge the non-revenue vehicles at the various Caltrain facilities.

Electric Fleet for Service to Gilroy (Pilot Project):

This project will test a hybridized EMU capable of off-wire operation to run electrified service to Gilroy. It will include procuring one BEMU train to test the vehicle before purchasing additional trainsets. This project will enable the replacement of the remaining diesel fleet, which is approaching the end of its useful life and will eventually be banned by the California Air Resources Board (CARB).

MS4 Trash Management:

This project will design and implement a full trash capture system required to maintain the Municipal Separate Storm Sewer System (MS4) National Pollutant Discharge Elimination System (NPDES) permit.



Balfour Beatty Night Wire Work

Partner with Local Communities

Caltrain is committed to be a community partner and to prioritize the health, safety, and quality of life of the communities members along the Caltrain corridor. The **Partner with Local Communities** Strategic Initiative includes all grade separation projects, the locally-sponsored grade crossing improvement projects, and two additional capital projects sponsored by local jurisdictions- the Bayview Caltrain Station Location Study and Implementation and the San Mateo Parking Track Replacement (Part of 25th Avenue Grade Separation).

As Caltrain and other operators plan to increase rail services, Caltrain understands that a coordinated approach to grade separations or closures is needed

to unlock regional mobility and safety benefits. The Corridor Crossing Strategy aims to enhance the current process by developing a corridor-wide strategy to deliver grade crossing projects. Local jurisdictions sponsor grade separation projects, which are typically initiated on a project-by-project basis and funded mainly as first-come, first-served. Caltrain transitions to the lead implementing agency role for grade separation projects after the local jurisdiction selects the locally preferred alternative.

Caltrain's resource allocation for grade separation projects over the next four years is defined in the Rolling Program and is part of a coordinated approach with the Corridor Crossing Strategy.



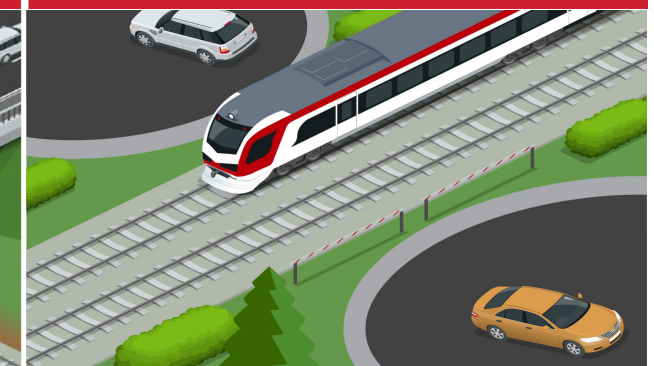
At Grade Crossing



Grade Separated Crossing



Grade Separated Crossing



Closed Crossing

Images Created by Corridor Crossing Strategy Team. <https://www.caltrain.com/projects/ccs>



Contribute to the Region's Economic Vitality

Caltrain, along with other passenger rail services, is a critical component of the San Francisco Bay Area transportation network, supporting regional mobility.

Caltrain and its partner agencies collaborate to expand the regional network by implementing transformative capital projects. Depending on the project, its phase, and whether it impacts Caltrain's right-of-way and operations, Caltrain's role in these projects varies but remains essential; therefore, the **Contribute to the Region's Economic Vitality** Strategic Initiative includes these projects.

These projects are not evaluated and prioritized with Caltrain-initiated and sponsored projects and programs. Still, they are prioritized in the Rolling Program to determine Caltrain's involvement and resource allocation over the next four years. Prioritization of these projects considers the project's development stage and its impact on Caltrain's main line and operations.

By 2035, the Bay Area transportation network will see numerous projects advance through stages of development.

The Portal (also known as the Downtown Rail Extension or DTX project) will move Caltrain from its current northern terminal at 4th and King Streets to a new terminal at the Salesforce Transit Center in Downtown San Francisco. The Portal project is also planned to be compatible with HSR and the potential future rail expansion across the Bay as part of the Link 21 Program.

The **San Francisco Railyards Redevelopment** will include a new rail station, housing, offices, and public spaces. The redevelopment will accommodate increased Caltrain service and future HSR operations, generate additional ridership, and support connections to the Portal, San Francisco Municipal Transportation Authority (SFMTA) Central Subway, and other SFMTA transit lines.

Diridon-San José Station is a historic station and poised to become one of the busiest intermodal stations in North America with the planned addition of the VTA-led Bay Area Rapid Transit (BART) to Silicon Valley Phase 2 connecting to the East Bay, HSR service, improved intercity passenger rail to the San Joaquin Valley (ACE) and Sacramento



(Amtrak Capitol Corridor), and the San José Airport Connector Project. To best accommodate such planned activity and future capacity needs, the leading agencies will reconfigure the Diridon-San José Station to efficiently connect all transit services and the surrounding urban environment.

California HSR will continue to advance toward blended service throughout the Caltrain corridor. HSR will share Caltrain's tracks with stops in San Francisco, Millbrae, San José, and Gilroy. The San Francisco to San José Project Section includes improving the Caltrain corridor to allow for increased train speeds. The San José to Merced Project Section provides for the electrification of the UPRR corridor between San José and Gilroy, allowing

for the extension of Caltrain electrified service throughout the entire Caltrain corridor.

Gilroy Station becomes the gateway to the Monterey Region with the **Monterey County Caltrain Extension** project to Salinas and to the San Joaquin Valley through the implementation of HSR service. The Monterey County Extension project includes station and track improvements at the Gilroy Station.

In parallel, other efforts will continue to be in motion, and Caltrain should continue to collaborate on projects such as the **Dumbarton Corridor**, led by SamTrans, and provides a new transit connection between the Caltrain Redwood City Station to the BART Union City Station in the East Bay.



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