

**California State Transportation Agency Call for Projects for the
2016 Transit and Intercity Rail Capital Program**

Summary: This call for projects details the application requirements and procedures for obtaining funding for eligible transit and intercity rail projects under the California State Transportation Agency (CalSTA) Transit and Intercity Rail Capital Program, established per the requirements of Senate Bill 862 (2014) and Senate Bill 9 (2015).

Final Filing Date: Applications for funding under this solicitation are **due no later than 5:00 p.m. PST, April 5, 2016**. Applications for funding received after 5:00 p.m. PDT on April 5, 2016 will not be considered.

Submission Requirements: Applications must be submitted electronically to tircpcomments@dot.ca.gov and the electronic file must be submitted on a single disk or flash drive. Each application shall have its own separate disk/flash drive. Convert the entire application into one (1) PDF file if possible within the size limitations referenced below. All relevant information included in the application must be clearly readable in this electronic copy, including but not limited to signatures, color-coding, and oversized documents. The PDF application files will be used for printing materials as needed for the review committees, and thus should be legible and printable on 8.5" by 11" paper. Supporting documentation, such as the quantification calculations required for GHG analysis, should also be submitted in an appropriate electronic form, such as Excel, for ease of review.

CDs OR FLASH DRIVES SHALL BE MAILED TO CALTRANS AT THE FOLLOWING ADDRESS:

Ms. Jila Priebe, Chief
Division of Rail and Mass Transportation
Office of Program and Policy Management (MS 39)
P.O. Box 942874
Sacramento, CA 94274-0001

The Program email account (tircpcomments@dot.ca.gov) can receive attachments totaling no more than 45 MB. Should attachments total more than 45 MB, multiple emails, clearly numbered in sequence ("Email x of x" as part of the subject line), may be submitted.

For further information contact: For further information regarding this solicitation, please contact the program electronically at: tircpcomments@dot.ca.gov. If prospective applicants would like clarification on any of the requirements of the project application described in this solicitation, questions submitted no later than March 4, 2016 will be considered for response in a Frequently Asked Questions section of the Transit and Intercity Rail Capital Program website located at <http://www.dot.ca.gov/hq/MassTrans/tircp.html>.

Optional pre-application meetings to discuss project concepts and quantification with CalSTA:

Prospective applicants interested in a pre-application meeting to discuss project concepts and phases, as well as clarification of project application requirements or quantification approaches should consider requesting an optional meeting at one of the following locations on the dates indicated below:

February 22, 2016 – Caltrans District 3, 2379 Gateway Oaks Dr., Suite 150, Sacramento, CA 95833

February 23, 2016 – Caltrans District 4, 111 Grand Ave., Oakland, CA 94612

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February 24, 2016 – Caltrans District 7, 100 S Main St., Los Angeles, CA 90012

February 25, 2016 – Caltrans District 11, 4050 Taylor St., San Diego, CA 92110

February 26, 2016 – Caltrans District 6, 1352 West Olive Ave., Fresno, CA 93778

Meeting requests should be submitted to tircpcomments@dot.ca.gov no later than February 11, 2016, including indication of the location or locations that the agency requests (if an agency can participate at more than one location, indicating this will allow better balancing of available time with requests for meetings), and the project or projects the agency would like to discuss. Agencies considering multiple applications or projects with significant project phasing should indicate so in the request. Specific time slots will be assigned and agencies notified by February 17, 2016, along with additional information related to the meeting arrangements. Only eligible agencies may request a pre-application meeting.

Applicants desiring feedback on specific questions in the pre-application meetings should submit such questions no later than three business days prior to the scheduled meeting date (e.g. February 17th (Wednesday) for the February 22nd (Monday) meeting date). While not all questions may be addressed in the pre-application meeting, post-meeting Frequently Asked Questions may be developed to address issues of relevance to prospective applicants as a whole, with both CalSTA and the Air Resources Board contributing answers to relevant questions.

Specific guidance to applicants proposing projects that will impact ridership and revenue of intercity rail services: Caltrans will provide ridership and revenue modeling support using the Amtrak/Caltrans ridership and revenue model(s) for rail projects that make improvements that will impact intercity rail service. The specific project types that can be modeled are described below. Caltrans will provide this service because the Amtrak/Caltrans ridership and revenue model is required by Caltrans to model ridership for intercity rail projects, to the extent that the model has the capacity to model the specific project being submitted as part of the grant application.

Project types that can be modeled by the Amtrak /Caltrans model may include: service level changes including frequency increases; travel time reductions (both train and bus); changes in on-time performance; and decreases in train to train or train to bus transfer times. The ridership models also have the capability to analyze the connections (including transfer times) of the intercity trains with ACE or Metrolink and Coaster services on the LOSSAN corridor. However, due to potential limited data availability on non-Amtrak services, modeling the ACE, Metrolink, or Coaster services may involve higher-level assumptions on ridership and revenue details thus possibly impacting the precision level of the results compared to scenarios where changes occur exclusively on Amtrak routes.

Other project types may be modeled by the Amtrak/Caltrans model, depending on the specifics of the project. These may include: changes in otherwise “un-observed attributes” (such as, the introduction of new equipment and wi-fi service, and improved customer information); and improved integrated ticketing and/or scheduling between services including the three intercity rail services, ACE, and Coaster and Metrolink service on the LOSSAN route.

If an agency has a project that fits the criteria above, the agency should indicate its intent by email to the Program email account (tircpcomments@dot.ca.gov) no later than February 16, 2016. Contact information should be included in the request so that Caltrans and Caltrans’ modeling consultant can reach out to the applicant to gather more information to determine if the proposed project is suitable for modeling. The agency should also be prepared to discuss the project in adequate detail with CalSTA staff at the meetings from February 22-26 to discuss project concepts and quantification to determine if

modeling is possible. If ridership and revenue modeling is deemed to be possible, modeling will be performed primarily during the month of March. If an agency doesn't contact Caltrans consistent with the above timelines, Caltrans will be unable to perform ridership modeling.

Supplementary Information:

CalSTA recommends that project applicants carefully read this solicitation and the program guidelines in their entirety prior to preparing application materials. The Transit and Intercity Rail Capital Program website (<http://www.dot.ca.gov/hq/MassTrans/tircp.html>) contains certain application materials and forms, and may be updated with answers to Frequently Asked Questions or additional materials and forms prior to the due date on this solicitation. The Transit and Intercity Rail Capital Program website also contains the final program guidelines, adopted by CalSTA on February 4, 2016, which provide additional program information and requirements.

Additionally, applicants should note that the project narrative document (excluding supporting reports and materials) may not exceed 50 pages in length. The submitted application should be of readable quality and format. The use of 11 point font or greater for narrative portions of the document is suggested, with exceptions for footnotes, endnotes, and other contents not part of the main body of the document. Additionally, applicants are encouraged to combine subsections in order to provide more efficient descriptions, or less duplication. If these efficiencies are incorporated into the application, please indicate within each document which elements of the application requirements are addressed by each section of the applicant's submitted documents.

Section 1: Award Information

1.1 Available Funding

This solicitation utilizes approximately \$440 million through State Fiscal Year (FY) 2017-18 from the existing continuous appropriation based on 10 percent of Cap-and-Trade Auction Proceeds. Additional funding is *proposed* as part of the Administration's transportation reform and funding plan and includes \$800 million from Greenhouse Gas Reduction Fund appropriations, and approximately \$90 million from Public Transportation Account loan repayments. Should the additional proposed funding be enacted, CalSTA intends to make it available for project awards in this funding cycle, which could provide a combined level of funding approximately \$1.33 billion.

The final amount of funding available to award and allocate in this funding cycle will be dependent on the level of Cap-and-Trade auction proceeds through 2017-18, and future budget or statutory enactment, as applicable.

Funds awarded to projects will not be available for project use until the year from which the funds are programmed, but the California Transportation Commission may consider programming adjustments, subject to applicable California Transportation Commission requirements.

1.2 Application Limits

For the 2016 Transit and Intercity Rail Capital Program solicitation, there is no specified maximum project size. Agencies may submit multiple applications, and the submitted projects must be ranked by the applicant based on agency priority.

Applicants are encouraged to identify separate project components that could provide benefits on a stand-alone basis, in order to give CalSTA flexibility in selecting projects or project components. Applicants submitting a high-dollar, single application with no scalability or separable project elements may increase the risk of having an uncompetitive project application; therefore, applicants are advised to submit projects that are scalable and separable. CalSTA may choose to recommend funding for less than the amount requested by the application. At the same time, CalSTA may revise upward the funding available for the programming cycle in the event the available program resources expand prior to the completion of the programming cycle.

CalSTA will recommend awards for projects and may request specific project review and approval milestones as requirements of the award, in consultation with Caltrans and the California Transportation Commission. The funding provided under this program will be made available on a reimbursable basis.

1.3 Application Review Process

Applicants will proceed through a multi-step review process:

1. Basic screening for completeness and eligibility
2. Review of application for potential subdivision into project phases or components, review and analysis of ridership and GHG quantification, and summarization of project to assist technical panel review
3. Initial rating of projects on each primary and secondary evaluation criterion and other additional factors described in the guidelines by multi-agency technical panels
4. Consideration of technical panel ratings, geographic equity and degree of disadvantaged community benefits by a senior executive panel, with potential to request additional information from subject matter experts that may result in a revised rating on one or more evaluation criteria or factors
5. Project selection by CalSTA, taking into consideration cross-cutting and comparative selection criteria that consider overall program objectives, geographic equity and exceeding program goals for benefits to disadvantaged communities

The Project Selection Process is further detailed in Section 10 of the 2016 Transit and Intercity Rail Capital Program Guidelines.

Section 2: Project Application Contents

The project application document shall be submitted as a PDF addressing each of the following items, addressing each item in order:

1. A cover letter, with signature authorizing and approving the application. If the applicant does not need to specifically go to the agency's Board to request permission to authorize and approve the application, then only the signature of an executive (i.e. General Manager/CEO) authorized to submit is needed. A board resolution or authorized agent form is not required to be filed at the time of application submittal.

2. Project Narrative Document (maximum 50 pages):

The following are the minimum content which will be required in the Project Narrative document. These requirements shall be satisfied through a narrative statement, and may be supported by spreadsheets, tables, maps, drawings and other materials, as appropriate.

- a. Project title page, listing the following elements:
 - i. Project Title (which should be a brief non-technical description of the project type, scope, and location)
 - ii. Location (each city and county relevant to the project)
 - iii. Project Mode
 1. Local Bus (inclusive of bus, trolley bus, shuttle bus and rapid bus operating in mixed traffic)
 2. Bus Rapid Transit
 3. Light Rail
 4. Streetcar
 5. Heavy Rail (commonly referred to as subway or metro)
 6. Commuter Bus
 7. Commuter Rail
 8. Intercity Rail
 9. Feeder Bus associated with Intercity Rail
 10. Ferry
 11. Vanpool
 - iv. Project priority (if lead applicant is submitting applications for multiple modes)
 - v. Lead Applicant Organization Name
 - vi. Co-Applicant Organization Name(s) (if applicable)
 - vii. Amount of Transit and Intercity Rail Capital Program Funding Requested
 - viii. Proposed Non-Transit and Intercity Rail Capital Program Match Funding (if any)
 - ix. Result of Calculating GHG Emissions Reductions according to Air Resources Board Quantification Methodology (Metric Tons (MT) of CO₂ Reduced over the project life divided by Greenhouse Gas Reduction Funds Requested (\$))
- b. Designate a point of contact for the applicant that is an employee of the eligible applicant, including phone number, mailing address and email address.
- c. Indicate the amount of Transit and Intercity Rail Capital Program funding requested, the proposed non-Transit and Intercity Rail Capital Program match, and total project cost. Additionally, identify the specific source of all non-Transit and Intercity Rail Capital Program funding, including any requests that are pending approval (such as expected federal New Starts or Small Starts funding or potential local transit funding measures) and the timeline for approval. Note if any specific funding source requires obligation or expenditure by a particular date.
 - i. If applicable, describe the leveraging and coordination of funding from other greenhouse gas reduction programs such as Caltrans' Low Carbon Transit Operations Program, the Strategic Growth Council's Affordable Housing and Sustainable Communities Program or the Air Resources Board's Low Carbon Transportation funding program.
 - ii. If applicable, describe the leveraging and coordination of funding from other federal, state, local or regional sources, with indication as to which of those sources are discretionary and which are non-discretionary.
- d. Explain how the applicant meets the applicant eligibility criteria.
- e. Provide a brief (6 or fewer sentences) summary of the proposed project, capturing the transportation challenges the proposed project aims to address, as well as the intended

outcomes and anticipated benefits that will result from the proposed project. Applicants may wish to see the CalSTA descriptions of awarded projects for 2015, and use these summaries as a guide for project summaries

(<http://calsta.ca.gov/res/docs/pdfs/2015/Agency/TIRCPAwardSummary06302015.pdf>)

- f. Include a detailed project description that expands on the brief summary required above. This detailed description should provide, at a minimum, additional background on the transportation challenges the project aims to address, the expected users and beneficiaries of the project (including any disadvantaged communities expected to benefit from the project), the specific components and elements of the project, and any other information the applicant deems necessary to justify the proposed project. This section should address project purpose and need.
- g. Include a thorough discussion of how the project addresses each of the evaluation criteria (noting where the project does not contribute to particular criteria) listed in Section 9 of the Program Guidelines, in the order provided in Section 9 of the Program Guidelines. Where secondary evaluation criteria request similar categories of information to categories already covered under primary evaluation criteria, cross-referencing the other category rather than duplicating an explanation is encouraged.
 - i. This section should contain a clear demonstration of the expected benefits and the proposed metrics for tracking and reporting on those benefits consistent with the Air Resources Board's Greenhouse Gas Quantification Methodology for the California State Transportation Agency Transit and Intercity Rail Capital Program (dated February 4, 2016).
 - ii. This section should also indicate an estimate of the useful life of the project for the dominant project asset type (can be separated by project category or phase if elements of the project have independent utility and could be separately funded or placed in service).
 - iii. Reference to any connectivity to the planned High-Speed Rail system should be based on the 2014 High Speed Rail Business Plan and the 2016 Draft High Speed Rail Business Plan (when released), located on the California High Speed Rail Authority's website.
 - iv. If Disadvantaged Communities Benefits are claimed, an explanation of how the project provides direct, meaningful, and assured benefits to a disadvantaged community (see Section 9.3 of Guidelines and Attachment 1).
 1. Reference Attachment 1 to the Guidelines, and indicate the type(s) of project classification (Low Carbon Transportation and/or Transit Projects) and the particular criteria under which the project qualifies.
 2. Provide a narrative explanation and supporting documentation addressing the direct, meaningful benefits to disadvantaged communities provided by the project, and the method for assuring these benefits will be achieved.
- h. A discussion of the proposed project's impact on other projects planned or underway within the corridor.
- i. Describe proposed project implementation and project management arrangements. Include descriptions of the expected arrangements for project contracting, contract oversight, change-order management, and risk management.
- j. Describe project readiness and reasonability of the schedule for project implementation, including:

- i. Progress towards achieving environmental protection requirements.
- ii. The comprehensiveness and sufficiency of agreements with key partners (particularly infrastructure owning railroads) that will be involved in implementing the project.

3. Statement of Work Document

- a. The Statement of Work document should contain sufficient detail so that both CalSTA and the applicant can understand the expected outcomes of the proposed project and monitor progress toward completing project tasks and deliverables during the grant's period of performance. A clear explanation should be provided if project documentation related to project programming, schedule, budget and other items relies on documents that contain outdated numbers or differences in funding sources.
- b. The Statement of Work should address:
 - i. Project scope
 - 1. Detailed description of project tasks, deliverables and milestones.
 - 2. A map of the project location denoting the project site and the location of any disadvantaged communities that will benefit from the project.
 - ii. Project costs
 - 1. Cost estimates should be escalated to the year of proposed delivery
 - 2. The amount and source of funds committed to the project (including identification of funding for initial operating costs)
 - 3. The amount of Transit and Intercity Rail Capital Program funds requested by project component and/or phase
 - iii. Project schedule, including the project's current status and major delivery milestones.
 - iv. Description of funding sources and approach to ensuring ongoing operating and maintenance costs of the project are funded through the useful life of the project (as applicable).
 - v. Description of project elements that are separable or scalable based on available funding, while still maintaining independent utility. For example, if an application is for improving service on three routes, each should be broken out and prioritized so that the highest-priority portion of the application could be funded if resources are not sufficient for full project funding.
- c. Project Programming Request (PPR) Form (referenced in Section 8 of Program Guidelines). The PPR is available in other locations on the Caltrans website; however, the current version is included on the TIRCP website for the convenience of applicants.

4. Support Documentation

- a. Certification that cost estimates used are approved by the Chief Executive Officer or other authorized officer of the implementing agency.
- b. Indication of support for project implementation from stakeholders critical to the project, such as host railroads or facility owners.
- c. Letter from the Metropolitan Planning Organization (MPO), or in non-MPO regions, the responsible regional planning agency or agencies, indicating consistency with the applicable Sustainable Communities Strategies or other greenhouse gas reduction policies and programs (see Secondary Evaluation Criteria Item 5 in the Program Guidelines).

- d. If disadvantaged community benefits are claimed, identify the specific disadvantaged community census tracts (for non-rail projects) or ZIP codes containing a disadvantaged community (for rail projects) receiving benefits from the proposed project. At a minimum, provide the census tract(s) or zip code(s) organized by county. If possible, also provide a map illustrating the disadvantaged communities that benefit.
- e. Other documents and files key to supporting the Project Narrative Document, as referenced by the Project Narrative Document.