

BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA

Investigation for the purpose of)
establishing a list for the fiscal)
years 1996-97 and 1997-98 of)
existing and proposed crossings at)
grade of city streets, county)
roads, or state highways most)
urgently in need of separation,)
or projects effecting the)
elimination of grade crossings by)
removal or relocation of streets)
or railroad tracks, or existing)
separations in need of alteration)
or reconstruction as contemplated)
by Section 2452 of the Streets and)
Highways Code.)
_____)

F I L E D
PUBLIC UTILITIES COMMISSION
JULY 19, 1995
SAN FRANCISCO OFFICE
I.95-07-003

ORDER INSTITUTING INVESTIGATION

By July 1 of each year, the California Public Utilities Commission (Commission) is required pursuant to Streets and Highways (S&H) Code Section 2452 to establish and furnish to the California Transportation Commission (CTC) a priority list of railroad grade separation projects most urgently in need of separation, including the elimination of existing or proposed grade crossings, the elimination of grade crossings by removal or relocation of streets or railroad tracks, and existing grade separations most urgently in need of alteration or reconstruction. The list, based on criteria established by the Commission, includes projects on city streets, county roads, and state highways which are not freeways as defined in S&H Code Section 257.

Funding for projects included on each annual priority list is provided by S&H Code Section 190, and the basis for allocation and state requirements are contained in S&H Code Sections 2450-2461. On projects which eliminate an existing crossing or alter or reconstruct an existing grade separation, an allocation of 80% of the estimated cost of the project is made, with the local agency and railroad each contributing 10%. An allocation of 50% of the estimated cost of the project is made for a proposed crossing project, with the remaining 50% contributed by the local agency.

Subsequent to the Commission's issuance of the Annual Grade Separation Priority List, applications to California Department of Transportation (CALTRANS) for an allocation of funds are accepted no later than April 1 of each fiscal year. Requirements of filing an application for an allocation of funds are more specifically set forth in the California Administrative Code, Title 21, Chapter 2, Subchapter 13, Grade Separation Projects- Applications for Allocations or Supplemental Allocations. A copy of Subchapter 13 is attached as Appendix 1.

Interim Decision (D.) 88-06-050, dated June 17, 1988, instituted a two-year program in which nominations are submitted and hearings are held every other year. In the alternate year, the Commission will submit a list to the CTC which has been revised to delete those projects actually funded for the fiscal year in which the hearings are held. Interim D. 94-06-026, dated June 22, 1994, established the 37th annual priority list of projects for the 1994- 95 fiscal year. Final D. 95-06-020 dated June , 1995, established the 38th annual priority list for fiscal year 1995-96. This list will expire on June 30, 1996 necessitating the establishment of a new priority list for the 1996-97 and 1997-98 fiscal years.

ALL AGENCIES CONTEMPLATING THE POSSIBLE NOMINATION OF A PROJECT FOR FISCAL YEAR 1997-98 ARE HEREBY PLACED ON NOTICE THAT THERE WILL BE NO SEPARATE PROCEEDINGS FOR FISCAL YEAR 1997-98. THEREFORE, TO ASSURE ELIGIBILITY FOR FUNDING OF A PROJECT DURING FISCAL YEAR 1997-98, IT MUST BE NOMINATED FOR THIS INVESTIGATION.

The Commission will consider projects nominated by cities, counties, cities and counties, CALTRANS, and the various railroad companies operating within the state for inclusion on the 1996-97 and 1997-98 Grade Separation Priority Lists. In addition, the Commissions Railroad Safety Branch Special Projects staff may nominate projects which it deems urgently in need of separation but have not been nominated by other agencies or railroad companies.

The Commission is responsible for establishing criteria to be used in determining the priority of the projects nominated for separation or alteration. By Decision 90-06-058, we adopted a new formula as shown on Appendix 2. The Safety & Enforcement Division proposes to use the same formula in evaluating the 1996-97 and 1997-98 nominations.

S&H Code Section 2460.7 authorizes a local agency to construct a project on the priority list prior to the time that it reaches a high enough position for funding. The following conditions will be applied to prioritize grade separation projects on which construction has commenced:

1. The project must have been nominated for the fiscal year during which construction commenced.
2. The project must be renominated for the fiscal year during which funding consideration is desired.
3. The nomination must include the same data as included in the nomination for the fiscal year during which construction commenced with the exception of construction cost data.
4. Cost data included in the nomination shall be:
 - a. Final costs for completed projects.
 - b. Currently anticipated final costs for projects still under construction.
5. All projects nominated under the provisions of Section 2460.7 shall also comply with the filing requirements set forth in this order.

For Investigations prior to I93-07-032 for establishing the grade separation priority list, the Order Instituting Investigation (OII) was mailed to all cities and counties. However, usually less than 50 such agencies actually participated in the OII by filing nominations. To reduce reproduction, handling and mailing costs, the Safety & Enforcement Division mailed the notice appearing on Appendix 3 to cities, counties and other interested parties. Those agencies interested in this investigation were requested to return the bottom portion of the notice so that this OII would then be mailed to them. This OII will also appear on the Commission's Daily and Transportation Calendars. We believe this to be fair and sufficient notice of this investigation.

O R D E R

IT IS ORDERED that:

1. An investigation on the Commission's own motion is instituted for the purpose of establishing a new priority list for fiscal years 1996-97 and 1997-98 of existing or proposed railroad grade crossings of public streets, roads, or highways most urgently in need of separation, projects effecting the elimination of grade crossings by removal or relocation of streets or railroad tracks, and existing separation structures most urgently in need of alteration or reconstruction as required by Streets and Highways (S&H) Code Section 2452.

2. The Executive Director shall serve a copy of this order on the following:

Every city or county that returns the bottom portion of the OII notification (Appendix 3)

Every railroad corporation

California Department of Transportation

California Transportation Commission

League of California Cities

County Supervisors Association

3. Public agencies or railroad corporations desiring to have a particular crossing(s), separation(s) considered for inclusion in the 1996-97 and 1997-98 list, to be established under S&H Code Section 2452, shall file the original and four copies of their nomination(s) with the California Public Utilities Commission, Docket Office, 505 Van Ness Avenue, San Francisco, CA 94102. After filing, the Docket Office shall transmit four copies of each nomination to the Railroad Safety Branch. In D. 94-06-026 we stated that we will begin our investigation in July 1995 to allow staff the required time for its field investigation and analysis and to prepare for the Priority Lists proceedings. Therefore, we will also require all parties to send a copy of their nomination(s) to the Railroad Safety Branch at the time the nominations are tendered for filing with the Commission's Docket office. All nominations shall be received by the California Public Utilities Commission in San Francisco no later than 4:00 p.m. on September 1, 1995. Each nominating body is also required to provide two copies of its nomination(s) to CALTRANS, one copy to the appropriate railroads (see addresses contained in Appendix 4), one copy to each of the additional parties listed in Appendix 4, and any other affected party.

4. Each nomination shall include the following data:

a. A statement indicating the need for the project.

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b. A statement indicating that the nominating agency can or cannot complete the pre-allocation requirements, as set forth in S&H Code Section 2456, prior to April 1, 1995 for fiscal year 1996-97 and prior to April 1, 1996 for fiscal year 1997-98.

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- c. A location map of the project, on paper 8-1/2 inches by 11 inches in size (scale 1" = 500'±), showing existing streets, highways, and railroads. The proposed alignment of the grade separation shall also be shown.
 - d. Two current photographs (size, 8 inches by 10 inches) of the crossing, one from each direction of approach. At least one original set of these photographs shall be included in the nomination copy set sent to the Railroad Safety Branch.
 - e. A statement indicating the type of project.
 - f. For existing or proposed crossings nominated for separation or elimination, a completed Nomination Form GSN-1 (Appendix 5).
 - g. For proposed crossing projects, a discussion of the physical practicability of constructing an at-grade crossing in the general area of the proposed separation. The discussion shall be supported by a plan and centerline profile of an at-grade crossing reproduced on paper 8-1/2 inches by 11 inches in size. No discussion of economic feasibility is required. Only a description of the physical features of the surrounding terrain which would allow the construction of an at-grade crossing is required. If sufficient evidence is not presented that construction of an at-grade crossing is practicable, the project will be excluded from the list.

- h. For existing grade separations nominated for alteration or reconstruction, a completed Nomination Form GSN-2 (Appendix 6).
- I. A description of the existing and proposed separation structures, including acute structural deficiencies, shall be included with the nomination.
- j. Data submitted in the nomination must be based on verifiable facts occurring on or before the nomination filing date. Speculative data involving events anticipated to occur at some time in the future will not be considered.
- k. Agencies nominating projects shall file, with their nomination, prepared testimony which fully supports the nomination. Nominating agencies shall promptly furnish a copy of their nomination and prepared testimony to any party making a written request to the nominating agency. The use of prepared testimony is required to reduce hearing time and expedite the proceeding for the benefit of all concerned.
- l. All nominations shall be verified by the nominating party. Verification may be made before a notary public or by certification or declaration under penalty of perjury.
- m. All information relating to the urgency of the project shall be filed with the nomination in affidavit form.
- n. Railroad Safety Branch Special Projects Staff nominations may be filed at any time prior to hearing and may exclude listed item to be adduced through the OII process.

5. Nominations shall not include multiple projects which are separate and distinct and clearly severable. The combining of severable projects precludes the Commission from effectively determining which projects are most urgently in need of separation or alteration as required by S&H Code Section 2452. Projects for the elimination of existing grade crossings and for the elimination of proposed grade crossings shall not be combined in a single nomination. (See D.86-06-073 at pp. 17-19.)

6. If a nomination is to be considered as a project for the elimination of existing grade crossings, and eligible for 80 percent funding, all data included in the nomination must be premised on all of the crossings proposed to be closed.

7. A nominating agency may elect to exclude preconstruction costs (engineering, right-of-way, preparation of environmental impact reports, and utility relocation), which are not sufficient to meet S&H Code Section 2454 requirements; that is, those preconstruction cost which are less than the local agency share of the total costs. In order for preconstruction costs to be eligible for exclusion, the funds must have been expended on or before February 28th of the year in which the hearings are being held. The involved agency may be required to submit evidence in support of the fact that the funds have been expended. To the extent that preconstruction costs are excluded from a project's cost for the purpose of a nomination, the costs will be considered as non-participating; that is, the railroad will not be required to contribute 10 percent of the excluded preconstruction costs.

8. In addition to submitting the Grade Separation Nomination Form, each party, or its representative, nominating a crossing for inclusion in the Grade Separation Priority List is required to appear in person at either the San Francisco or Los Angeles hearings to present evidence concerning its nomination. Supplemental data may be submitted at the hearings in support of a nomination. The data may include facts not known at the time of nomination filing date, such as crossing accidents occurring after the nomination filing date but on or before January 31st of the year during which the hearings are held. Verification of all supplemental data must be received by the staff no later than one week after the last scheduled day of hearing.

9. Appearance schedules will be published after all nominations have been received. Appearances will be limited to one witness per project.

10. Agencies anticipating the need for an allocation greater than \$5,000,000 should be prepared to present evidence at the Grade Separation Priority List hearings to justify the additional award.

S&H Code Section 2454 (g) states:

"(g) Notwithstanding the provisions of Subdivisions (a) to (f), inclusive, the total of such allocations for a single project shall not exceed five million dollars (\$5,000,000) without specific legislative authorization, except that the amount for a single project may be increased to either (1) an amount that includes the Federal construction cost index increase each year since 1976, or (2) an amount which does not exceed one-third of the total funds appropriated for grade separation projects for the year of allocation, whichever amount is less, as determined each year by the Public Utilities Commission."

11. Failure to supply all of the requested information or to appear before the Commission will constitute grounds for exclusion of a project from the 1996-97 and 1997-98 Grade Separation Priority List.

12. Public hearings in the investigation will be held before the assigned Administrative Law Judge at dates, times, and locations to be announced.

This order is effective today.
Dated July 19, 1995, at San Francisco, California.

DANIEL Wm. FESSLER
President
P. GREGORY CONLON
JESSIE J. KNIGHT, JR.
HENRY M. DUQUE
Commissioners

APPENDIX 1
Sheet 1 of 5

GRADE SEPARATION

TITLE 21 Department of Transportation
(Register 82, No. 34--8-21-82)

SUBCHAPTER 13, GRADE SEPARATION PROJECTS -- APPLICATIONS FOR
ALLOCATIONS OR SUPPLEMENTAL ALLOCATION

Article 1. Applications

1552. Last Date to File.

April 1 of each fiscal year is the last date on which applications for allocation of grade separation funds in that fiscal year can be filed; provided, however, if April 1 is a Saturday, Sunday, or a State of California holiday, then the last date of filing shall be the next business day following April 1. Filing is accomplished by filing the application with the Department of Transportation in the manner hereafter stated.

1553. Place to File.

The complete application in triplicate must be received in the Office of the District Director of Transportation, State of California, in the transportation district in which the applicant is located, no later than 4:00 p.m. on the last day for filing.

1554. Contents of Application.

The complete application must include a written request for an allocation in a specified monetary amount along with copies of each of the following attached to it:

- (a) All necessary orders of the Public Utilities Commission of the State of California. Necessary orders of the Public Utilities Commission include:
 - (1) An order authorizing construction of the project;
 - (2) A statement of the applicant's position on the annual priority list established by the Public Utilities Commission pursuant to Streets and Highways Code Section 2452;

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GRADE SEPARATION (Cont.)

- (3) In case the applicant and affected railroad or railroads cannot agree as to the apportionment of the cost of the project between them, an order apportioning such cost pursuant to Public Utilities Commission Code Section 1202.5, but in no case shall an allocation be made unless the railroad or railroads contribute no less than the amount required by Section 2454 of the Streets and Highways Code, except as may be otherwise provided by law.
- (b) All necessary agreements with the affected railroad or railroads fully executed by railroad or railroads and applicant. The necessary agreements with the railroad include:
- (1) Permission to enter upon railroad right of way for construction, or, in lieu thereof, an order of the Public Utilities Commission or of a court of competent jurisdiction authorizing such entry for construction purposes;
 - (2) A description of the project on a plan setting forth the area and items of the project and the particular area and items of the project to which the railroad or railroads agree to contribute;
 - (3) The percentage of railroad's or railroads' contribution to the cost of the area and items to which railroad or railroads agree to contribute;
 - (4) Identification and estimated cost of the area and items to which railroad or railroads do not contribute;
 - (5) Agreement that railroad or railroads shall contribute a minimum of 10 percent of the cost of the project without a maximum dollar limitation on the railroad's contribution, except that the contribution may be less than 10 percent of the cost of the project where expressly so provided by law.

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Sheet 3 of 5GRADE SEPARATION (Cont.)

- (6) When two or more railroads are affected by a project, their combined contribution must be a minimum of 10 percent of the cost of the project without a maximum dollar limitation on the combined contribution, except that such combined contribution may be less than 10 percent of the cost of the project when expressly so provided by law.
- (c) A certified resolution by the applicant's governing body authorizing the filing of an application.
- (d) Certified resolution by the applicant's governing body stating that all matters prerequisite to the awarding of the construction contract can be accomplished within one year after allocation of the funds for the project by the California Transportation Commission.
- (e) A certified resolution by applicant's governing body stating that sufficient local funds will be made available as the work of the project progresses.
- (f) Copies of all necessary Environmental Impact Reports or Negative Declarations, with a certified Notice of Determination and approval or acceptance of these documents by the Lead Agency. In cases where an Environmental Impact Statement or Negative Declaration has been prepared for the project pursuant to the requirements of the National Environmental Policy Act of 1969 and implementing regulations thereto, such documents may be submitted in lieu of an approved Environmental Impact Report or Negative Declaration and Notice of Determination, provided the Environmental Impact Statement or Negative Declaration fully develops the factors required in Title 14, Section 15143, of the State Administrative Code including Title 20, Section 17.1 (d) (2), of the State Administrative Code and such Environmental Impact Statement or Negative Declaration has received Federal approval.
- (g) General plan of the project, including profiles and typical sections.
- (h) Project cost estimate, which is to be broken down to construction, preliminary and construction engineering, work by railroad forces, right of way costs, and utility relocation.

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GRADE SEPARATION (Cont.)

1555. Project Limitation.

Participation of the grade separation fund is limited to only that portion of the project which, in the determination of the California Transportation Commission, is necessary to make the grade separation operable and to effect the separation of grades between the highway and the railroad track or tracks, or necessary to effect the relocation of track or highway. Off-track maintenance roads shall be nonparticipating unless the existing access for maintenance purposes is severely impaired by the project. Participating items include, but are not limited to, approaches, ramps, connections, drainage, erosion control of slopes, such as ivy, iceplant, and rye grass, and preconstruction costs, such as right of way acquisition, preparation of environmental impact reports and utility relocation, necessary to make the grade separation operable. In any dispute as to scope of project or qualification of an item, the decision of the California Transportation Commission shall be conclusive.

1556. Allocation Limitation.

Initial allocation of grade separation funds by the California Transportation Commission shall be limited to that based upon applicant's estimate of cost of project specified by applicant and utilized by the Public Utilities Commission of the State of California in establishment of applicant's priority pursuant to Streets and Highways Code Section 2452 of the State of California, and in no case shall an original and supplemental allocation for a single project exceed a total of five million dollars (\$5,000,000) without specific legislative authorization in effect for the project at the final date and time for filing an application. A planned project must be a complete and operable project, and effect the separation of grades, relocation of the highways or railroad, in order to qualify for an allocation.

Article 2. Supplemental Allocation

1557. Last Date to File.

The last date on which an application for a supplemental allocation can be filed for the subsequent fiscal year is May 1 of the current calendar year. If May 1 is a Saturday, Sunday or a State of California holiday, then the last date of filing shall be the next business day following May 1. A formal application must be filed by the applicant, accompanied with the project final report.

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Sheet 5 of 5GRADE SEPARATION (Cont.)

1558. Place to File.

The complete application in triplicate must be received in the Office of the District Director of Transportation, State of California, in the transportation district in which the applicant is located, no later than 4:00 p.m. on the last day for filing.

1559. Contents of Application.

The application must include a written request for a supplemental allocation in a specified amount along with copies of each of the following attached thereto.

- (a) A certified resolution by the applicant's governing body certifying that:
 - (1) Applicant has authority to make request for supplemental allocation;
 - (2) The project has been completed and has been accepted by the governing body;
 - (3) The actual and final cost of the project has been determined and is set forth in the supplemental application;
 - (4) All costs set forth in the request for a supplemental allocation were necessary to make the grade separation operable and effect the separation of grades or the relocation of track or highway.
 - (5) That railroad or railroads have contributed 10 percent of the cost of the project unless a lesser contribution is expressly provided by law.
- (b) Evidence that funds would have been allocated for the project had the actual cost been used by the Public Utilities Commission of the State of California in determining the project's ranking on the priority list.
- (c) A final accounting of the cost of the project with a statement explaining in detail why the original allocation was not sufficient.

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FORMULA FOR CROSSINGS NOMINATED
FOR SEPARATION OR ELIMINATION

$$P = \frac{V (T + 0.1 \times LRT)}{C \times F} (AH + BD) + SCF$$

Where:

- P = Priority Index Number
- V = Average 24-Hour Vehicular Volume
- C = Total Cost of Separation Project
(In Thousands of Dollars)
- T = Average 24-Hour Train Volume
- F = Cost Inflation Factor (Use F = 11 for
1992-93 & 1995-94 F.Y. Priority List
Based on the Current Construction Cost
Index)
- AH = Accident History
- BD = Blocking Delay at Crossing
- SCF = Special Conditions Factor

$$SCF = VS + RS + CG + AR + PT + OF$$

here:

	<u>Points Possible</u>
VS = Vehicular Speed Limit	0 - 5
RS = Railroad Prevailing Maximum Speed	0 - 7
CG = Crossing Geometrics 0 - 7	
AR = Alternate Route Availability	0 - 5
PT = Passenger Trains	0 - 10
OF = Other Factors	<u>0 - 16</u>
Total Points	0 - 50

POINTS IN EACH CATEGORY ARE ASSIGNED ACCORDING TO THE FOLLOWING SCHEDULE:

AH = Accident History (10 Years)
Each reportable train-involved accident

$$\text{Points} = (1 + 2 \times \text{No. Killed} + \text{No. Injured}) \times \text{PF}^*$$

*PF = Protection Factor for:

- Std. #9 = 1.0
- Std. #8 = 0.4
- Std. #3 = 0.2
- Std. #1 = 0.1

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Note 1. No more than three points shall be allowed for each accident prior to modification by the protection factor.

Note 2. Each Accident shall be rated separately and modified by a factor appropriate to the protection in existence at the time of the accident.

BD = Crossing Blocking Delay Per Train
(Total Minutes per Day - T)

<u>Minutes</u>	<u>Points</u>
0 - .49	0
.5 - .99	.5
1.0 - 1.49	1.0
1.5 - 1.99	1.5
2.0 - 2.49	2.0
2.5 - 2.99	2.5
3.0 - 3.49	3.0
3.5 - 3.99	3.5
4.0 - 4.49	4.0
4.5 - 4.99	4.5
5.0 - 5.49	5.0
5.5 - 5.99	5.5
6.0 - 6.49	6.0
6.5 - 6.99	6.5
7.0 - 7.49	7.0
7.5 - 7.99	7.5
8.0 - 8.49	8.0
8.5 - 8.99	8.5
9.0 - 9.49	9.0
9.5 - 9.99	9.5
10 +	10.0

VS = Vehicular Speed Limit

<u>MPH</u>	<u>Points</u>
0 - 30	0
31 - 35	1
36 - 40	2
41 - 45	3
46 - 50	4
51 - 55	5

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RS = Railroad Maximum Speed

<u>MPH</u>	<u>Points</u>
0 - 25	0
26 - 35	1
36 - 45	2
46 - 55	3
56 - 65	4
66 - 75	5
76 - 85	6
86 +	7

CG = Crossing Geometrics

0 - 7 points based on relative severity of physical conditions, i.e., grade, alignment, site distance, etc.

AR = Alternate Route Availability

<u>Distance (Feet)</u>	<u>Points</u>
0 - 1,000	0
1,001 - 2,000	1
2,001 - 3,000	2
3,001 - 4,000	3
4,001 - 5,000	4
5,001 +	5

PT = Passenger Trains

<u>No. of Trains Per Day</u>	<u>Points</u>
1 - 2	1
3 - 5	2
6 - 10	3
11 - 20	4
21 - 30	5
31 - 40	6
41 - 50	7
51 - 60	8
61 - 70	9
71 +	10

OF = Other Factors

0 - 16 points based on:
secondary accidents, emergency vehicle usage,
passenger buses, school buses, hazardous
materials trains and trucks, community impact.

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FORMULA FOR EXISTING SEPARATIONS
NOMINATED FOR ALTERATION OR RECONSTRUCTION

$$P = \frac{V (T + 0.1 \times LRT)}{C \times F} + SCF$$

Where:

- P = Priority Index Number
- V = Average 24-Hour Vehicular Volume
- C = Total Cost of Separation Project
(In Thousands of Dollars)
- T = Average 24-Hour Train Volume
- F = Cost Inflation Factor (Use F = 11 for
1992-93 & 1995-94 F.Y. Priority List
Based on the Current Construction Cost
Index)
- SCF = Special Conditions Factor

$$SCF = WC + HC + SR + LL + AS + PF$$

Where:

	<u>Points Possible</u>
WC = Width Clearance	0 - 10
HC = Height Clearance	0 - 10
SR = Speed Reduction or Slow Order	0 - 5
LL = Load Limit	0 - 5
AS = Accidents At or Near Structure	0 - 10
PF = Probability of Failure and Other Factors	<u>0 - 30</u>
Total Possible	0 - 70

POINTS IN EACH CATEGORY ARE ASSIGNED ACCORDING TO THE FOLLOWING SCHEDULE:

WC = Width Clearance

<u>Width (feet)</u>	<u>Points</u>
16' + 12(N)	0
12' but less than 16' + 12(N)	2
8' but less than 12' + 12(N)	4
0" but less than 8' = 12(N)	6
11(N) but less than 12(N)	8
Less than 11(N)	10

N = Number of Traffic Lanes

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HC = Separation Height Clearance

Underpass

<u>Height (feet)</u>	<u>Points</u>
15' and above	0
14' but less than 15'	4
13' but less than 14'	8
Less than 13'	10

Overpass

<u>Height (feet)</u>	<u>Points</u>
22 1/2' and above	0
20' but less than 22 1/2'	4
18' but less than 20'	8
Less than 18'	10

SR = Speed Reduction or Slow Order Points

None	0
Moderate	2
Severe	5

LL = Load Limit Points

None	0
Moderate	2
Severe	5

AS = Accidents at or Near Structure (10 years)

<u>Number</u>	<u>Points</u>
0 - 10	0
11 - 20	1
21 - 30	2
31 - 40	3
41 - 50	4
51 - 60	5
61 - 70	6
71 - 80	7
81 - 90	8
91 - 100	9
100 +	10

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PF = Probability of Failure and other factors

0-30 points based on:

- (a) Probability of Failure
- (b) Accident Potential
- (c) Delay Effects

APPENDIX 3

IMPORTANT NOTICE

June 30, 1995

TO: CITIES, COUNTIES AND INTERESTED PARTIES-
Re: Establishment of the 1996-97 & 1997-98 Grade Separation Priority List
under Streets and Highways Code Section 2452.

The Commission is anticipating the issuance of an Order Instituting Investigation (OII) for the purpose of establishing the 1996-97 and 1997-98 priority list of railroad/highway grade separation projects eligible for state funding. The Department of Transportation (Caltrans) uses this list to allocate \$15,000,000 (\$5 million maximum per project) each fiscal year to assist local governments in financing grade separation projects.

If you are interested in the grade separation priority list program and would like to receive the OII, please detach the bottom portion of this letter and return it no later than July 20, 1995. The OII includes an explanation of the grade separation priority list program, the application and the requirements for filing. The OII also includes the criteria and formula used to rank all nominations. **If your agency wishes to nominate grade separation project(s) for inclusion on the priority list, you must return this form and actively participate in the investigation in the manner set forth in the OII.** Unless we hear from you, the OII will not be mailed to your agency.

If you have any questions, please contact Tack Joe at (415) 557-9884, Rosa Munoz at (213) 897-5790 or Tom Enderle at (415) 557-9889.

Very Truly Yours,

Tom Enderle, Senior Transportation Engineer
Safety & Enforcement Division

Mail to: California Public Utilities Commission
Attn: Tack Joe, Railroad Safety Branch
505 Van Ness Avenue
San Francisco, CA 94102

Please place me/my agency on the mailing list for the Order Instituting Investigation to establish the 1996-97 and 1997-98 Railroad/Highway Grade Separation Priority List.

AGENCY NAME _____
ADDRESS _____
CITY _____ ZIP CODE _____
CONTACT PERSON NAME _____
TITLE _____ TELEPHONE NUMBER (_____) _____

APPENDIX 4
Sheet 1 of 2ADDRESS LIST
GRADE SEPARATION NOMINATION

This is a partial listing, only. Applicants are still responsible to serve copies of their nominations on the railroad(s) involved in their proposals.
RAILROADS

Dan A. Barringer, G.M.
Amador Railroad Company
909 Terminal Sales Bldg.
Portland, OR 97205

Jeff E. Forbis, Pres & CEO
McCloud Railway
P. O. Box 1500
McCloud, CA 96057

Annette L. Polte General Manager
Amador Central Railroad Co.
P.O. Box 66
Martell, CA 95654

James L. Beard, President
Modesto & Empire Traction Co.
P. O. Box 3106
Modesto, CA 95353

L.E. Mueller, General Manager
Burlington Northern Railroad Co.
2000 First Interstate Center
Seattle, WA 98104

Tom Schueler, Dir. of Engr
Port of Sacramento
Sacramento-Yolo Port
District Belt Railroad
P. O. Box 815
West Sacramento, CA 95691

G. J. Allen, General Manager
California Western Railroad
(DBA: Mendocino Coast Railway)
P.O. Box 907
Fort Bragg, CA 95437

A.G. Beckman, Dir. of Oprns
Port of Stockton
Stockton Public Belt Railroad
P. O. Box 2089
Stockton, CA 95201

Steve Crook, General Manager
North Coast Railroad Co.
P. O. Box 2014
Eureka, CA 95502

Thomas G. Matoff, Gen Manager
Sacramento Regional Transit
Dist. Light Rail Project
P.O. Box 2110
Sacramento, CA 95812-2110

R. A. Igo, General Manager
Harbor Belt Line Railroad
Box A
Wilmington, CA 90748

743 Imperial Avenue
San Diego, CA 92101

Dennis Kling, General Manager
San Diego and Imperial Valley RR P.O.

Richard Levin, President
Levin-Richmond Ter. Corp
(Parr Terminal Railroad)
402 Wright Avenue
Richmond, CA 94804

Peter Tereschuk, Vice President
San Diego Trolley, Inc.
1255 Imperial Ave. Suite 900
San Diego, CA 92101

Neil Peterson, - Exec. Dir.
Los Angeles County Transportation
Commission - RCC
818 W. 7th Street, Suite 1100
Los Angeles, CA 90017

Lawrence Reuter, Dir. of Trans.
Santa Clara Co Transportation
Agency
101 West Younger Avenue
San Jose, CA 95110

APPENDIX 4
Sheet 2 of 2

ADDRESS LIST
GRADE SEPARATION NOMINATION

Mrs. Sue J. Sword, President & Manager
Santa Maria Valley Railroad Company
P. O. Box 340
Santa Maria, CA 93456

L. T. Cecil, V.P. & G.M.
Yreka Western Railroad Co.
O. Box 660
Yreka, CA 96097

CALTRANS

(Send one copy to each addressee)

Jerry Gregg, Exec. V.P.
Sierra Railroad Company
13645 Tuolumne road
Sonora, CA 95370

J. E. Robert, Chief
Division of Structures
Department of Transportation
State of California
Attn: Jack Boda
P.O. Box 942874
Sacramento, CA 94274-0001

Ken A. Moore, V.P. - Operations
Southern Pacific Transportation Co.
One Market Plaza
San Francisco, CA 94105

E. C. Bonnstetter, Attorney
Department of Transportation
State of California
P.O. Box 1438
Sacramento, CA 95812-1438

Greg N. Carney, V.P. & COO
Stockton Terminal & Eastern Rr.
1330 North Broadway Avenue
Stockton, CA 95205

P.O. Box 1438
Sacramento, CA 95812-1438

ADDITIONAL PARTIES

(Send one copy to each addressee)

Roy Ketring, Special Project Mgr.
The Atchison, Topeka and Santa Fe
Railway Company
740 E. Garnegie Drive
San Bernardino, CA 92408-3571

Jeff S. Asay, Staff Attorney
Union Pacific Railroad Company
5500 Ferguson Dr., Ste. J
Los Angeles, CA 90022

Mark C. Demetree, Pres
Trona Railway Company
13068 Main St.
Trona, CA 93562

General Attorney
Southern Pacific Transp. Co.
Southern Pacific Building
One Market Plaza
San Francisco, CA 94105

E. C. May General Manager
Union Pacific Railroad Co.
406 W. First South
Salt Lake City, UT 84101

Curtis Ballantyne, Attorney
Santa Fe Southern Pacific Corp.
35th Floor, Union Bank Square
445 S. Figueroa Street
Los Angeles, CA 90071

Carmen Chappell, President
Ventura County Railway Co.
P.O. Box 432
Oxnard, CA 93032

(For Orange County appl. only)

Roger Hohnbaum, Manager
EMA/Transportation Programs
County of Orange
P. O. Box 4048
Santa Ana, CA 92702-4048

BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA

Investigation for the purpose of)
establishing a list for the fiscal)
years 1995-94 and 1996-97 of)
existing and proposed crossings at)
grade of city streets, county)
roads, or state highways most)
urgently in need of separation,)
or projects effecting the)
elimination of grade crossings by)
removal or relocation of streets)
or railroad tracks, or existing)
separations in need of alteration)
or reconstruction as contemplated)
by Section 2452 of the Streets and)
Highways Code.)

No. _____

_____)

Nomination for Separation or elimination of
existing or proposed railroad grade crossing

Nomination by City/County of _____

in compliance with I. _____

Location Name (street) _____

Railroad Company _____

NOMINATION REQUIREMENTS

The Order Instituting Investigation (OII) sets forth the requirements for all nominations. Please carefully review the OII and attach all of its required data and information as separate sheets to this nomination form. The following is a summary of the data required by Ordering Paragraph No. 4:

- a. A statement indicating the need for the project.
- b. A statement refunding ability to complete pre-allocation requirements.
- c. Location map of the project.
- d. Two photographs (8" X 10").
- e. A statement indicating the type of project.
- g. For proposed crossing projects, a discussion of the physical practicability of constructing an at-grade crossing.
- j. Data submitted in the nomination must be based on verifiable facts occurring on or before the nomination filing date.
- k. Prepared testimony fully supporting the nomination.
- l. All nominations shall be verified by the nominating party.
- m. All information relating to the urgency of the project shall be filed with the nomination in affidavit form.

In addition to the above, please provide the following information:

1. As part of the need statement, please describe the community impact of the existing at-grade crossing and the proposed separation.
2. Describe and discuss each of the following as it applies to your crossing: limited waiting area for the vehicles, traffic signals located near the tracks, parallel road to the track(s), visibility of upcoming crossing, noise impediment, frequently used entrances or exits near the crossing, curvature of roadway or tracks which might hinder the normal observance of possible approaching trains, and other hazard causing elements.
3. Describe the current status of the project, i.e., preliminary engineering, design, PUC grade separation application, right of way negotiations/purchase, notice of determination, an environmental impact document, any discussions, negotiations and/or agreements with the railroad, etc.
4. If your agency has received any governing body (city council/board of supervisors, etc.) approval, plans attach resolution or other documentation. Also, please discuss the availability and source of local matching funds.

Appendix 5

Sheet 2 of 7

APPENDIX 5
Sheet 3 of 7

EXPLANATION

5. TYPE OF CROSSING PROTECTION:

Stop Signs	_____	Gates	_____
Crossbucks	_____	Bells	_____
Wigwags	_____	Lights	_____
Flagman	_____	Stop sign	_____
Other	_____		

Check all protection that exist at the crossing presently. Specify **other** in the space provided.

6. Approach Roadway:

Width (feet) _____
Number of lanes _____

Within 200 feet on either side of the crossing.

7. Crossing Roadway:

Width (feet) _____
Number of lanes _____

On the roadway pavement at the crossing.

8. Crossing Skew Angle:

Degrees _____

Describe the angle which the roadway crosses the perpendicular of the track(s)

9. Elevated Surface Profile of Roadway:

Direction _____
Change in Height _____ (in)
Direction _____
Change in Height _____ (in)

From each side of the approach at a point 30 ft from the closest rail, measure the difference in height from the top of the rail to the surface of the road.

10. Average Daily Motor Vehicle Volume:

Vehicle Count (ADT) _____
Date of Count _____

An average 24-hour day count is required. All counts must be done after January 1, 1995.

Description of data collection methods: _____

EXPLANATION

11. Average Daily Train (ADT) Volume:

Passenger	_____
Through freight	_____
Switching	_____
Light rail	_____
Other (specify below)	_____
TOTAL TRAINS	_____

The ADT should be obtained by a written request from the railroad, otherwise, specify the source of information below. Staff recommends that the ADT be confirmed by direct observations.

Description of data collection methods: _____

12. Speed:

Motor Veh. (Posted MPH)	_____
Train (MPH)	_____

The train speed should be the maximum speed attained at the crossing. This data may be obtained from the railroad company or by properly operated radar equipment.

Description of data collection methods: _____

13. Accidents:

Train-vehicle	_____
Vehicle-vehicle	_____
Vehicle-object	_____

A 10-year accident history of each type of accident that may be attributed to the presence of the grade crossing.

Description of data collection methods: _____

EXPLANATION

14. Crossing Blocking Delay:

Date count was done _____
Number of delays _____
Total time delay _____

Count must be performed after January 1, 1995, Show the total time in minutes per day the warning devices are activated. The data may be obtained by installation of a signal activation monitoring device or an average delay per train based on direct observation.

Description of data collection methods: _____

15. Nearest alternative route _____(feet)

The nearest alternate route as measured along the centerline of the railroad track.

16. Average number of crossings per day:

School bus _____ Other bus _____
Haz Mat Trucks _____ Ambulance _____
Haz Mat Trains _____ Police _____
Other _____

Show the number of average crossing per day for each type of vehicle. Specify other below.

Description of data collection methods: _____

17. Type of Project Proposed: (check one)

Underpass _____
Overpass _____
Other (specify) _____

If **Other**, please describe below

EXPLANATION

18. For Proposed crossing: (check one)

At grade crossing is practical and feasible _____
 At grade crossing is not practical and feasible _____

In the narrative section, show sufficient evidence that construction of an at-grade crossing is, or is not physically practical and feasible

19. Contribution:

Contribution by the city or county equal to or greater than 50% of the cost the project. (yes/no) _____

20. Estimated Project Cost (April 1, 1995)

Right-of-way allowance.....\$ _____
 Preliminary Engineering....\$ _____
 Construction Engineering...\$ _____
 Total Engineering.....\$ _____
 Bridge Construction.....\$ _____
 Railroad work.....\$ _____
 Highway approaches and connections.....\$ _____
 Utility relocation.....\$ _____
 Contingencies.....\$ _____
 Removing existing crossing (where applicable).....\$ _____
 Total construction cost....\$ _____
 Total Project cost.....\$ _____

The estimated project cost shall be as of April 1, 1995. The cost shall be itemize as shown and any item left blank shall be explained. The estimated cost shall be limit to that portion of the project which is necessary to make the grade separation operable and to effect the separation of grades between the highway and the railroad tracks. The project cost shall be rounded to the nearest thousand dollars.

Note: For projects involving more than one crossing, complete the appropriate form for each individual crossing and also show a summary for the complete project.

BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA

Investigation for the purpose of)
establishing a list for the fiscal)
years 1996-97 and 1997-98 of)
existing and proposed crossings at)
grade of city streets, county)
roads, or state highways most)
urgently in need of separation,)
or projects effecting the)
elimination of grade crossings by)
removal or relocation of streets)
or railroad tracks, or existing)
separations in need of alteration)
or reconstruction as contemplated)
by Section 2452 of the Streets and)
Highways Code.)
_____)

No. _____

Nomination for alteration or reconstruction of
existing grade separation

Nomination by City/County of _____
in compliance with I. _____

Location Name (street) _____

Railroad Company _____

DUE DATE: September 1, 1995

APPENDIX 6

Sheet 2 of 6

NOMINATION REQUIREMENTS

The Order Instituting Investigation (OII) sets forth the requirements for all nominations. Please carefully review the OII and attach all of its required data and information as separate sheets to this nomination form. The following is a summary of the data required by Ordering Paragraph No.4:

- a. A statement indicating the need for the project.
- b. A statement regarding ability to complete pre-allocation requirements.
- c. Location map of the project.
- d. Two photographs.
- e. A statement indicating the type of project.
- i. A description of the existing and proposed separation structures, including acute structural deficiencies.
- j. Data submitted in the nomination must be based on verifiable facts occurring on or before the nomination filing date.
- k. Prepared testimony fully supporting the nomination.
- l. All nominations shall be verified by the nominating party.
- m. All information relating to the urgency of the project shall be filed with the nomination in affidavit form.

In addition to the above, please provide the following information:

1. Describe the current status of the project, i.e., preliminary engineering, designs right of way negotiations/purchase, notice of determination, any discussions negotiations and/or agreements with the railroad, etc.
2. If your agency has received any governing body (city council/board of supervisors, etc.) approval, please attach resolution or other documentation. Also, please discuss the availability and source of local matching funds.

EXPLANATION

6. Center Divider:

Yes _____ No_____

Self explanatory

7. Speed Reduction (quantitative):

Vehicle _____
Railroad Slow Order _____
Total time delay _____

Quantitatively identify any vehicular speed reduction which may be due to the presence of the structure. Information regarding a railroad slow order may be obtained from the railroad company.

Description of data collection methods: _____

8. Load Limit:

Vehicle _____
Railroad _____

Show any vehicular or railroad load limit restriction at the structure.

Description of data collection methods: _____

9. Railroad Track Type (indicate number):

Main _____
Branch _____
Passing _____
Siding/Spur _____
Other _____

If unknown, the type of track may be obtained from the railroad company. Please describe other types of tracks below

Description of data collection methods: _____

EXPLANATION

10. Average Daily Vehicle Volume:

Vehicle Count (ADT) _____
Date of Count _____

An average 24-hour day count is required. All counts must be done after January 1, 1995.

Description of data collection methods: _____

11. Average Daily Train Volume:

Passenger _____
Through freight _____
Switching _____
Light rail _____

TOTAL TRAINS _____

It is preferred that the data be obtained by a written request to the railroad, otherwise the source of information in the narrative.
It is advised that the data be confirmed by direct observation.

Description of data collection methods: _____

12. Secondary Accidents:

Vehicle-vehicle _____
Vehicle-object _____

A 10-year accident history of the number of secondary accidents which may be attributed to the presence of the grade separation structure.

Explain the type of accidents occurring and the source of information:____

EXPLANATION

13. Contribution:

Contribution by the city or county equal to or greater than 50% of the cost the project? Yes_____ No_____

14. Estimated Project Cost (April 1, 1995)

Right-of-way allowance.....	\$_____
Preliminary Engineering....	\$_____
Construction Engineering...	\$_____
Total Engineering.....	\$_____
Bridge Construction.....	\$_____
Railroad work.....	\$_____
Highway approaches and connections.....	\$_____
Utility relocation.....	\$_____
Contingencies.....	\$_____
Removing existing crossing (where applicable).....	\$_____
Total construction cost....	\$_____
Total Project cost.....	\$_____

The estimated project cost shall be as of April 1, 1995. The cost shall be itemized as shown and any item left blank shall be explained. The estimated cost shall be limited to that portion of the project which is necessary to make the grade separation operable and to effect the separation of grades between the highway and the railroad tracks. The project cost shall be rounded to the nearest thousand dollars.

Note: For projects involving more than one crossing, complete the appropriate form for each individual crossing and also show a summary for the complete project.

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