



## **LOSSAN RAIL CORRIDOR AGENCY TECHNICAL ADVISORY COMMITTEE**

**Thursday, November 7, 2019  
12:30 P.M. – 2:30 P.M.**

Los Angeles County Metropolitan Transportation Authority  
Henry Huntington Room, Third Floor  
One Gateway Plaza,  
Los Angeles, CA

Any person with a disability who requires a modification, accommodation or agenda materials in an alternative format in order to participate in the meeting should contact the LOSSAN Clerk of the Board, telephone 714-560-5676, no less than two (2) business days prior to this meeting to enable LOSSAN to make reasonable arrangements to assure accessibility to this meeting.

### **Agenda Descriptions**

The agenda descriptions are intended to give members of the public a general summary of items of business to be transacted or discussed. The posting of the recommended actions does not indicate what action will be taken. The Technical Advisory Committee may take any action which it deems to be appropriate on the agenda item and is not limited in any way by the notice of the recommended action.

### **Public Comments on Agenda Items**

Members of the public may address the Technical Advisory Committee regarding any item. Please complete a speaker's card and submit it to the Technical Advisory Committee or notify the Technical Advisory Committee the item number on which you wish to speak. Speakers will be recognized by the Committee at the time the agenda item is to be considered. A speaker's comments shall be limited to three (3) minutes.

### **Public Availability of Agenda Materials**

All documents relative to the items referenced in this agenda are available for public inspection at [www.lossan.org](http://www.lossan.org) or through the LOSSAN Clerk of the Board's office at the OCTA Headquarters, 600 South Main Street, Orange, California.

## Teleconference Sites

The main location for this meeting is at Los Angeles County Metropolitan Transportation Authority Headquarters. Several LOSSAN member agencies will be attending this meeting via teleconference from the following locations:

Santa Barbara County Association of Governments  
Manzanita Conference Room  
260 North San Antonio Road  
Santa Barbara, CA 93110

Riverside County Transportation Commission  
Conference Room B  
4080 Lemon St., 3rd Floor  
Riverside, CA 92501

The public is welcome to attend and testify at any of the LOSSAN member agency locations listed above, all of which are accessible to the public. For more information, please contact LOSSAN Rail Corridor Agency staff, at (714) 560-5598 or e-mail [malonso@octa.net](mailto:malonso@octa.net), for specific meeting room locations at least 72 hours in advance of the meeting.

## 2019 TECHNICAL ADVISORY COMMITTEE

### Technical Advisory Committee - Membership Roster

	Member Agencies	Appointee	Alternate
North	San Luis Obispo Council of Governments	Anna Devers	Tim Gillham
	Santa Barbara County Association of Governments	Scott Spaulding	Marjie Kirn
	Ventura County Transportation Commission	Heather Miller	Martin Erickson
Central	Los Angeles County Metropolitan Transportation Authority	Jay Fuhrman	Jeanet Owens
South Central	Orange County Transportation Authority	Vacant	Megan LeMaster
	Riverside County Transportation Commission	Sheldon Peterson	Vacant
South	San Diego Metropolitan Transit System	Sharon Cooney	Julia Tuer
	North County Transit District	Eric Roe	Michael Johnson
	San Diego Association of Governments	Danny Veeh	Linda Culp

## Call to Order

### 1. Public Comments

At this time, members of the public may address the Technical Advisory Committee regarding any items within the subject matter jurisdiction of the Technical Advisory Committee, but no action may be taken on off-agenda items unless authorized by law. Comments shall be limited to three (3) minutes per speaker, unless different time limits are set by the Committee subject to the approval of the Technical Advisory Committee.

## Special Calendar

There are no Special Calendar matters.

## Consent Calendar (Items 2 through 4)

All items on the Consent Calendar are to be approved in one motion unless a Committee Member or a member of the public requests separate action or discussion on a specific item.

### 2. Approval of Minutes

Approval of minutes of the LOSSAN Technical Advisory Committee meetings for March, June, and July.

### 3. Annual Business Plan and Budget Assumptions for Fiscal Years 2020-21 and 2021-22

Roger M. Lopez

#### Overview

The Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency is required to submit an annual business plan to the California State Transportation Agency by April 1 of each year that provides the basis for its annual budget request and any proposed changes to the Pacific Surfliner service. A list of key assumptions that will be used in developing the budget and business plan for fiscal years 2020-21 and 2021-22 is presented for Technical Advisory Committee's review.

#### Recommendation(s)

Direct staff to incorporate the key assumptions into the development of the Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency business plan for fiscal years 2020-21 and 2021-22.

**4. Update on the Transit and Intercity Rail Capital Program Funded Projects and Layover Facility Expansions**

James D. Campbell

**Overview**

A report on the progress of the capital projects along the Los Angeles - San Diego - San Luis Obispo rail corridor in Ventura, Santa Barbara and San Luis Obispo counties that were funded by the 2018 Transit and Intercity Rail Capital Program grant award and the ongoing efforts to expand the Pacific Surfliner layover facilities in San Diego, Goleta, and San Luis Obispo, is presented for consideration.

**Recommendation(s)**

Receive and file as an information item.

**Regular Calendar**

There are no Regular Calendar matters.

**Discussion Items**

**5. 2020 Transit and Intercity Rail Capital Program Update**

Michael Litschi

**Overview**

Staff will provide an update on the 2020 Transit and Intercity Rail Capital Program and the strategy for submission of projects on the Los Angeles - San Diego - San Luis Obispo rail corridor.

**6. Upcoming Agenda Items**

James D. Campbell

**Overview**

Overview of upcoming agenda items for the Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency Board of Directors.

**7. On-Board WiFi Update**

Michael Litschi

**Overview**

Most Pacific Surfliner trains currently offer free basic onboard WiFi service as a passenger amenity. Staff will provide an update on the current onboard WiFi service, as well as future opportunities being explored to improve and expand onboard WiFi service on Pacific Surfliner trains.

8. **2020 Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency Legislative Program**  
Dustin J. Sifford

### **Overview**

Annually, the Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency adopts a Legislative Program of strategic goals to guide its legislative activities for the upcoming session. The 2020 Los Angeles - San Diego - San Luis Obispo Rail Corridor Agency Legislative Program has been prepared for consideration by the Board of Directors.

9. **Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Update**
10. **Technical Advisory Committee Members' Report**

### **Closed Session**

There are no Closed Session items scheduled.

11. **Adjournment**

The next regularly scheduled meeting of this Committee will be held:

Monday, February 3, 2019  
12:30 p.m. – 2:30 p.m.  
Location to be determined



# Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency **TECHNICAL ADVISORY COMMITTEE**

MARCH 7, 2019 MEETING MINUTES

The Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor Agency (Agency) Technical Advisory Committee (TAC) met on March 7, 2019, at 12:30 p.m. at the Orange County Transportation Authority, Conference Room 103.

## **Committee members in attendance:**

### *In Person:*

Danny Veeh, SANDAG  
Rosa Guillen-Sanchez, OCTA

### *Via Teleconference:*

Anna Devers, SLOCOG  
Heather Miller, VCTC  
Sheldon Peterson, RCTC  
Eric Roe, NCTD  
Scott Spaulding, SBCAG

## **Guests and Staff in attendance:**

### *In Person:*

James Campbell, LOSSAN  
Jazmin Amini, SANDAG  
Jason Jewell, LOSSAN  
Roger Lopez, LOSSAN  
Dan Weatherby, HDR  
Jerry Martin, Public

Michael Litschi, LOSSAN  
Michael Johnson, NCTD

### *Via Teleconference:*

Tim Gillham, SLOCOG

## **Welcome and Introductions**

The March 7, 2019, LOSSAN Agency TAC meeting was called to order by Mr. Michael Litschi, Communications and Passenger Experience Manager (LOSSAN), who welcomed the LOSSAN Agency TAC to the Orange County Transportation Authority, 600 South Main Street, California. Mr. Litschi asked the participants in the room and over the teleconference line for introductions.

Mr. Litschi informed the Committee that a quorum of members was not reached, so no action would be taken during this meeting.

## **1. Public Comments**

Mr. Eric Reese submitted comments to Mr. Peterson (RCTC) for inclusion in the meeting minutes. Those comments are attached.

## **SPECIAL CALENDAR**

There were no Special Calendar matters.

## **CONSENT CALENDAR**

### **2. Approval of Minutes**

*No action was taken due to lack of quorum.*

## **REGULAR CALENDAR**

*There were no Regular Calendar items.*

## **DISCUSSION ITEMS**

### **3. Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Business Plan for Fiscal Years 2019-20 and 2020-21**

Mr. Lopez (LOSSAN) thanked the Committee for the input provided on the draft Business Plan and provided a brief update on the status of the Business Plan and addressed questions about reporting to the Committee.

The Committee requested additional reporting on root-cause delays on a regular basis. There was no further discussion.

### **4. Update on the Expansion of the Pacific Surfliner Layover Facility in the City of Goleta**

Mr. Campbell (LOSSAN) provided an update on the efforts underway for the expansion of the layover facility in Goleta. The City of Goleta (City) and Santa Barbara County Association of Governments (SBCAG) received Transit and Intercity Rail Capital Program grant funding to design and construct an intermodal transportation facility adjacent to the layover facility and platform in Goleta. LOSSAN Agency staff is in communication with City staff as the projects move forward. Mr. Campbell informed the Committee that a cooperative agreement would be put before the Board of Directors at the March 18, 2019 meeting between the LOSSAN Agency and Amtrak for the design of the expanded layover facility.

Mr. Spaulding (SBCAG) provided a brief update on the intermodal transportation facility to address questions posed by the Committee.

There was no further discussion.

### **5. Continuance of Rail 2 Rail Agreements with the Southern California Regional Rail Authority and North County Transit District**

Mr. Campbell (LOSSAN) provided background on the Rail 2 Rail agreements with the Southern California Regional Rail Authority (SCRRA) and the North County Transit District (NCTD). A new Rail 2 Rail agreement with the SCRRA will be brought to the Board of Directors for approval at the March 18, 2019 meeting. An amendment to the existing agreement with the NCTD will extend the Rail 2 Rail



program for one year and update the reimbursement rate to \$4.44 per boarding, which is consistent with NCTD's recent comprehensive annual financial report. The amendment will be going to the March 18 Board of Directors meeting as well.

The Committee asked questions regarding cost per boarding reimbursements and a potential step-up payment program. There was no further discussion.

## **6. Upcoming Agenda Items**

Mr. Litschi (LOSSAN) provided a brief overview of the agenda items for the March 18, 2019 Board of Directors meeting. There was no discussion.

## **7. Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Update**

Mr. Litschi (LOSSAN) reviewed weekend work windows dates, the April 8, 2019 coordinated schedule change, Disneyland Resort promotions, and a new midweek fare promotion. In addition, Mr. Litschi announced that the LOSSAN Agency was awarded approximately \$700,000 in State Rail Assistance funds for the station wayfinding signage program.

Ms. Bergener (LOSSAN) gave a brief update on the Rosecrans Marquardt triple-track project and how that project impacts the planned 13<sup>th</sup> roundtrip between San Diego and Los Angeles. Ms. Bergener also informed the Committee that Staff is working with LA Metro and Metrolink to get Pacific Surfliner ticket holders access through the subway gates at Union Station as part of the Transit Transfer program.

## **8. Technical Advisory Committee Members' Report**

Mr. Peterson (RCTC) announced the State Rail Assistance award of \$5.9 million for a special events platform at Indio station.

Ms. Devers (SLOCOG) announced that San Luis Obispo Council of Governments was awarded \$2.2 million State Rail Assistance funds to be used by Coast Rail Coordinating Council and member agencies to the Coast Rail Corridor Service Implementation Plan and pre-construction activities for a new passenger platform.

Ms. Guillen-Sanchez (OCTA) reported on the 25<sup>th</sup> anniversary of Orange County Metrolink Line – customer appreciation events at several stations, including coffee and donuts for morning commuters. Ms. Guillen-Sanchez also provided an Angels Express update.

Mr. Veeh (SANDAG) yielded to Ms. Amini (SANDAG) to provide an update on Federal Railroad Administration State of Good Repair grant application for the Del Mar Bluffs Stabilization Project.

Mr. Spaulding (SBCAG) requested an update on the Committee request to agendize the election of a chair and vice chair.

**9. Closed Session**

There is no Closed Session scheduled.

**10. Adjournment**

The meeting adjourned at 1:12 p.m.

The next regularly scheduled meeting of this Committee will be held at:

Thursday, May 9, 2019

12:30 p.m. – 2:30 p.m.

Los Angeles County Metropolitan Transportation Authority

Henry Huntington Room – Third Floor

One Gateway Center, Los Angeles, California

LOSSAN Technical Advisory Committee Meeting March 7, 2019 Public Comment

Dear LOSSAN Technical Advisory Committee Members,

Hello, my name is Eric Reese and my public comment is in regards for future committee and LOSSAN Staff analysis on the proposal to add a Northridge siding to the existing Metrolink Ventura Subdivision. The siding project that I am talking about would enhance an existing siding spur (the southern most portion below the main track) that is used on the Ventura Subdivision between Parthenia St in Northridge and the Northridge Station. This existing siding spur track is around 2,112 feet in length and has the possibility to hold up to 16 cars and 1 locomotive, when factoring in the PTC penalty breaking distance/penalty zone of 262 feet. Because of the short siding length, trains that need to wait for a passing train would proceed into the siding at a restricted speed of 15 mph (flashing red signal). The proposal would consist of having Metrolink's right of way maintenance contractor, Veolia, conducting an in depth rail inspection of the rail, ties, and ballast to determine the feasibility of using this existing siding with minimal reconstruction efforts. The proposal would also consist of adding centralized traffic control (CTC) to the siding, adding remote controlled-powered turnout switches rated for 40 mph, reconfiguring the Metrolink computer aided dispatch system to account for this siding, and adding PTC protection. This proposal would help enormously in reducing the delays experienced by Pacific Surfliner trains and Metrolink trains, when these trains are out of their assigned slot time. Adding a Northridge siding would reduce the Raymer to Bernson double track gap by 3 miles from Northridge to Raymer (Van Nuys) and 3 miles from Northridge to Bernson (Chatsworth). Adding a Northridge siding would also help to increase capacity and the number of train slots available to Metrolink and Amtrak. Overall, this proposal would help to increase dispatch fluidity, increase Metrolink's on time performance incentive, reduce delays, and increase capacity at a fraction of the cost and environmental review needed to double track the Raymer to Bernson double track gap. I have included a design rendering of the proposed Northridge siding along with my public comment. Thank you for your time and consideration of this important proposal.

Sincerely,  
Eric Reese



# Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency **TECHNICAL ADVISORY COMMITTEE**

JUNE 10, 2019 SPECIAL MEETING MINUTES

The Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor Agency (Agency) Technical Advisory Committee (TAC) met on June 10, 2019, at 11:00 a.m. at the Los Angeles County Metropolitan Transportation Authority, Silver Lake Conference Room, 18<sup>th</sup> Floor.

## **Committee members in attendance:**

### *In Person:*

Danny Veeh, SANDAG  
Heather Miller, VCTC  
Jay Fuhrman, LA Metro  
Rosa Guillen-Sanchez, OCTA  
Scott Spaulding, SBCAG

### *Via Teleconference:*

Anna Devers, SLOCOG  
Sheldon Peterson, RCTC

## **Guests and Staff in attendance:**

### *In Person:*

James Campbell, LOSSAN  
Emilia Doerr, LOSSAN  
Michael Litschi, LOSSAN  
Ron Mathieu, SCRRA  
Eric Reese, Public  
Jerry Martin, Public

### *Via Teleconference:*

Claire Grasty VCTC  
Alcon Tapia RCTC

## **Welcome and Introductions**

The June 10, 2019, LOSSAN Agency TAC meeting was called to order by Mr. Michael Litschi, Communications and Passenger Experience Manager (LOSSAN), who welcomed the LOSSAN TAC to the Los Angeles County Metropolitan Transportation Authority, One Gateway Plaza, California. Mr. Litschi asked the participants in the room and over the teleconference line for introductions.

## **1. Public Comments**

Mr. Eric Reese presented an in-depth proposal for additional siding between San Juan Capistrano/Dana Point and San Onofre to close the double-track gap. Mr. Reese emphasized that the siding project would reduce delay time and allow for increased train frequency and open train slots on the schedule.

Mr. Reese presented a proposal to improve on-time performance of the Pacific Surfliner. Mr. Reese encouraged the Committee to consider a combined dispatch center for Pacific Surfliner and long-distance trains. The current dispatch system is decentralized, requiring dispatchers from one hub to contact dispatchers at another hub for delay information. The proposal suggests that a centralized dispatch center would allow for dispatchers to coordinate train movement, send

out timely information about delays, work on train reroutes, and improve connections between the Pacific Surfliner and long-distance service.

Mr. Reese also encouraged the Committee and LOSSAN Agency staff to consider an incentive program similar to the Capitol Corridor Joint Powers Authority and Union Pacific Railroad to shift maintenance work to overnight hours to reduce the number of speed restrictions and slow orders during operating hours.

## **SPECIAL CALENDAR**

There were no Special Calendar matters.

## **CONSENT CALENDAR**

*Mr. Danny Veeh (SANDAG) pulled Item 2 and Item 3 from the Consent Calendar for discussion as a whole.*

- 2. Los Angeles – San Diego – San Luis Obispo Rail Corridor Trends for the Fourth Quarter of Federal Fiscal Year 2017-18**
- 3. Los Angeles – San Diego – San Luis Obispo Rail Corridor Trends for the First Quarter of Federal Fiscal Year 2018-19**

Mr. Veeh inquired about the delay in reporting the information to the Committee.

Mr. Roger Lopez (LOSSAN) informed the Committee that there was a delay as Amtrak moved to a self-service portal and the data received after that change was not what LOSSAN Agency Staff needed for these reports. Mr. Lopez reported that data through June had not be received, but it is expected soon.

There was no further discussion

*The consent calendar was approved by the Committee. Item 2 and Item 3 were filed as information items (Fuhrman /Miller)*

## **REGULAR CALENDAR**

There were no Regular Calendar Items

## **DISCUSSION ITEMS**

- 4. Pacific Surfliner – Quarterly On-Time Performance Analysis**

Mr. Litschi (LOSSAN) introduced the item and directed attention to the PowerPoint presentation that was distributed with the agenda.

Mr. Lopez (LOSSAN) presented the item to the Committee via PowerPoint. Mr. Lopez provided a brief background on the Corridor Improvement Team (CIT) and the goals of that group. Mr. Lopez explained the difference in data shared at the CIT and the data shared in the presentation and how the data helps to uncover the underlying cause of delays on the LOSSAN rail corridor.

The Committee asked clarification questions throughout the presentation involving COASTER dispatch and an increase to Amtrak delays. The Committee inquired about Charger Locomotive-related delays, Mr. James Campbell (LOSSAN) provided a brief equipment update related to the locomotives. There was a request from the Committee for future updates to include action that has been taken to address identified causes of delay between updates.

LOSSAN Agency staff intend on returning to the Committee on a quarterly basis to share on-time performance analysis.

There was no further discussion.

## **5. Fiscal Year 2019-20 Budget and Business Plan Update**

Mr. Jason Jewell (LOSSAN) gave a brief background on the budget and business plan before providing an update on the status of the annual budget and business plan. This update included the material changes proposed in the updated version of the business plan.

The Committee requested a formal staff report for future updates of this nature.

Mr. Jewell informed the Committee that the amended budget and business plan would be brought to the LOSSAN Agency Board of Directors on June 17, 2019 for consideration and approval.

Mr. Jewell fielded clarification questions throughout the update regarding equipment availability, vacant staff positions, and Amtrak overages.

There was no further discussion.

## **6. Pacific Surfliner Website Redesign**

Mr. Litschi (LOSSAN) introduced Ms. Emilia Doerr (LOSSAN) to the Committee and directed attention to the PowerPoint presentation included in the agenda packet.

Ms. Doerr (LOSSAN) provided the Committee with an update on the Pacific Surfliner website via a PowerPoint presentation. Ms. Doerr highlighted the optimized areas of the website that will deliver a more engaging and customer-focused online experience, including a booking widget and a train status widget. The website is slated to launch summer 2019. In addition, Ms. Doerr introduced Mr. Keith Mura (LOSSAN) as the newest member of the LOSSAN Agency marketing team.

The Committee asked general clarification questions regarding the website features and functionality.

There was no further discussion.

**7. Capital Projects Update**

Mr. Campbell (LOSSAN) gave an update on three capital projects: Central Coast Layover Facility Expansion, Goleta Layover Facility Expansion, and the San Diego Layover and Maintenance Facility Study. Mr. Campbell informed the Committee of the progress made on the three projects including stakeholder meeting dates and agreement statuses. Staff intends to provide updates to the Committee as they become available.

There was no discussion.

**8. Senate Bill 742**

Mr. Litschi (LOSSAN) provided a brief overview of Senate Bill 742 and what it could mean for the LOSSAN Rail Corridor Agency and Pacific Surfliner service, as it relates to providing connecting Thruway bus service that would not require a train trip to be booked in order to utilize Thruway bus service.

The Committee asked clarification questions. Staff will continue to provide updates.

**9. Upcoming Agenda Items**

Mr. Litschi (LOSSAN) provided a brief overview of the agenda items for the June 2019 Board of Directors meeting.

The Committee inquired about the proposed amendments to the LOSSAN Agency Contracting and Procurement Policy. Mr. Litschi briefly explained that the proposed amendments involved purchasing advertising through Google and granting signing authority for letter amendments to the Managing Director. There was no further discussion.

**10. Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Update**

Mr. Litschi (LOSSAN) updated the Committee on the recent Pacific Surfliner Café car menu and business class amenity refresh and plans for service during the opening week of Del Mar racing season and San Diego Comic-Con. Mr. Litschi also reminded the Committee members to send TAC appointment letters, per the LOSSAN bylaws.

**11. Technical Advisory Committee Members' Report**

Mr. Scott Spaulding (SBCAG) inquired about meeting minutes. Mr. Litschi (LOSSAN) informed the Committee that there is a delay in reporting the meeting minutes and the issue would be remedied.

Mr. Ron Mathieu (SCRRA) provided an update on Van Nuys North platform project, shared photos, and informed the Committee of the temporary housing solution coming to the station for people experiencing homelessness.

Mr. Sheldon Peterson (RCTC) provided a brief update on the Indio special event platform.

**12. Closed Session**

There was no Closed Session scheduled.

**13. Adjournment**

The meeting adjourned at 12:45 p.m.

The next regularly scheduled meeting of this Committee will be held at:

Thursday, September 5, 2019

12:30 p.m. – 2:30 p.m.

Los Angeles County Metropolitan Transportation Authority

Henry Huntington Room – Third Floor

One Gateway Center, Los Angeles, California





# Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency **TECHNICAL ADVISORY COMMITTEE**

JULY 8, 2019 SPECIAL MEETING MINUTES

The Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor Agency (Agency) Technical Advisory Committee (TAC) met on July 8, 2019, at 11:00 a.m. at the Orange County Transportation Authority in Conference Room 103.

## **Committee members in attendance:**

### *In Person:*

Danny Veeh, SANDAG  
Rosa Guillen-Sanchez, OCTA

### *Via Teleconference:*

Anna Devers, SLOCOG  
Sheldon Peterson, RCTC  
Heather Miller, VCTC  
Scott Spaulding, SBCAG

## **Guests and Staff in attendance:**

### *In Person:*

James Campbell, LOSSAN  
Michael Litschi, LOSSAN

### *Via Teleconference:*

Ron Mathieu, SCRRA  
Eric Reese, Public  
Jerry Martin, Public

## **Welcome and Introductions**

The July 8, 2019, LOSSAN Agency TAC meeting was called to order by Mr. Michael Litschi, Communications and Passenger Experience Manager (LOSSAN), who welcomed the LOSSAN TAC to the Orange County Transportation Authority, 600 S. Main Street, Orange, California. Mr. Litschi asked the participants in the room and over the teleconference line for introductions.

Mr. Litschi informed the Committee that a quorum of members was not reached, so no action would be taken during this meeting.

## **1. Public Comments**

Mr. Eric Reese presented a proposal to reimagine the Amtrak Rewards program with specific recommendations for the Pacific Surfliner service. In addition, Mr. Reese provided comments on the Coachella Valley service, informing the Committee that RCTC has been provided a detailed analysis for establishing a

passenger right-of-way in San Bernardino county to separate freight and passenger trains.

## **SPECIAL CALENDAR**

There were no Special Calendar matters.

## **CONSENT CALENDAR**

### **2. Approval of Minutes**

*No action was taken due to lack of quorum.*

## **REGULAR CALENDAR**

There were no Regular Calendar Items

## **DISCUSSION ITEMS**

### **3. Amtrak Operating Agreement Update**

Mr. Jason Jewell (LOSSAN) introduced himself to the Committee and provided an update on the status of the Amtrak Operating Agreement that included background on previous operating agreements and how the upcoming agreement differs. Mr. Jewell explained that LOSSAN staff will be recommending a 1-year agreement instead of a 2-year agreement, which will be presented to the Board of Directors at the July 15, 2019 meeting.

LOSSAN staff fielded questions regarding Wi-Fi service on the Pacific Surfliner including concerns over reliability and anticipated changes that may impact customer experience.

Mr. Spaulding (SBCAG) requested that a discussion item be added to a future TAC agenda to further discuss Wi-Fi service and a discussion item for an update on equipment procurement and corridor-wide equipment allocation.

There was no further discussion.

### **4. Capital Projects Update**

Mr. James Campbell (LOSSAN) provided an update on the layover facility projects in San Diego, Goleta, and San Luis Obispo.

Mr. Campbell covered how stakeholders are being involved in the early stages of the projects, upcoming meetings set to move projects forward, and fielded clarification questions from the Committee.

There was no further discussion.

**5. Coachella Valley Music Festivals Special Event Service Update**

Mr. Campbell (LOSSAN) provided an update on the coordinated efforts with RCTC for special event service in Coachella Valley. Mr. Peterson (RCTC) expressed appreciation for the support on the special event train platform at the Indio station.

There was no discussion.

**6. Upcoming Agenda Items**

Mr. Litschi (LOSSAN) provided a brief overview of the agenda items for the July 15, 2019 Board of Directors meeting.

Mr. Campbell (LOSSAN) provided a brief overview of the Funding Request for the Plans, Specifications, and Estimates Phase of the Central Coast Layover Facility Expansion Project item.

Mr. Spaulding (SBCAG) inquired about an on-time performance workshop to follow the July Board of Directors meeting. Staff informed the Committee that information will be made available when plans are finalized.

Mr. Veeh (SANDAG) requested that the Corridor Trends and On-Time Performance Analysis be brought to the Committee prior to the Board in the future. In addition, Mr. Veeh requested that staff share stakeholder meeting information with the Committee and a timeline of when the Committee can expect to see the annual business plan.

**7. Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Update**

Mr. Litschi (LOSSAN) informed the Committee of the efforts being put forth in preparing for the upcoming San Diego Comic-Con and opening weekend of Del Mar racing season including working with Amtrak to ensure that extra crews, equipment, and signage are available for that week. In addition, LOSSAN Agency staff is doing media outreach to help spread the word to expect busy trains during that timeframe. Mr. Litschi also gave a brief update on the Café car menu refresh.

**8. Technical Advisory Committee Members' Report**

Ms. Rosa Guillen-Sanchez (OCTA) reported on the Angels Express service offered by Metrolink for Angels weeknight home games and the OC Fair Express bus service offered by OCTA.

Mr. Danny Veeh (SANDAG) informed the Committee about efforts being made to open a grand central station south of Old Town in San Diego.

Mr. Ron Mathieu (SCRRA) reported on the earthquake protocol that was activated for the Antelope Valley line due to increased seismic activity earlier in the week.

**9. Closed Session**

There was no Closed Session scheduled.

**10. Adjournment**

The meeting adjourned at 12:00 p.m.

The next regularly scheduled meeting of this Committee will be held at:

Thursday, September 5, 2019

12:30 p.m. – 2:30 p.m.

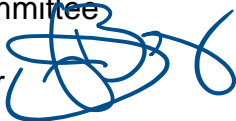
Los Angeles County Metropolitan Transportation Authority

Henry Huntington Room – Third Floor

One Gateway Center, Los Angeles, California



**November 7, 2019**

**To:** Members of the Technical Advisory Committee  
**From:** Jennifer L. Bergener, Managing Director   
**Subject:** Annual Business Plan and Budget Assumptions for Fiscal Years 2020-21 and 2021-22

### **Overview**

The Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency is required to submit an annual business plan to the California State Transportation Agency by April 1 of each year that provides the basis for its annual budget request and any proposed changes to the Pacific Surfliner service. A list of key assumptions that will be used in developing the budget and business plan for fiscal years 2020-21 and 2021-22 is presented for Technical Advisory Committee's review.

### **Recommendation**

Direct staff to incorporate the key assumptions into the development of the Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency business plan for fiscal years 2020-21 and 2021-22.

### **Background**

Per the interagency transfer agreement (ITA) between the Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor Agency (Agency) and the California Department of Transportation, as well as the LOSSAN Joint Powers Agreement, the LOSSAN Agency must develop an annual business plan (ABP) to be approved by the LOSSAN Agency Board of Directors (Board). The ABP must be submitted to the Secretary of the California State Transportation Agency (CalSTA) by April 1 of each year. It is a two-year planning, operations, and budget document that serves as the LOSSAN Agency's formal ABP request to CalSTA. CalSTA is required to review and approve the annual business plan by September 1 of each year. The ABP must be consistent with the most recently adopted State Rail Plan and California High-Speed Rail Authority business plan.

The ABP is required to include a report on performance of the Pacific Surfliner service; an overall operating plan, including proposed service enhancements to increase ridership and accommodate travel demand; a marketing plan; a

short-term and long-term capital improvement program; funding requirements for the upcoming fiscal year (FY); and an action plan with specific performance goals and objectives. The ABP must also document any planned operational changes necessary to provide the service, including operating plans to serve peak-period trips, and consideration of other service expansions and enhancements.

In addition, the ABP must clearly delineate how funding and accounting for state-sponsored intercity passenger rail service will be separate from locally sponsored services in the rail corridor. Proposals to expand or modify passenger rail services are required to be accompanied by the identification of all associated costs and ridership projections. The ABP also establishes, among other things: fares, operating strategies, and other initiatives designed to meet performance standards established in the ITA.

### ***Discussion***

The initial LOSSAN ABP was submitted to CalSTA concurrent with the ITA in June 2015, and covered FY 2015-16 and FY 2016-17. The business plan for FY 2020-21 and FY 2021-22 will focus on the LOSSAN Agency's efforts to enhance and expand the Pacific Surfliner service, outlining planned service expansions, updated operational strategies, existing and future equipment needs, marketing initiatives, and the capital improvements necessary to meet planned future service levels. Draft budget projections will also be provided as part of the updated business plan as a placeholder, but will be revised and resubmitted for final approval by June 2020, following receipt of operating cost estimates from Amtrak. These costs estimates are typically received March 31, with the deadline for submitting the ABP being April 1.

The following key assumptions are proposed to be incorporated into the FY 2020-21 and FY 2021-22 business plan:

- Implementation of a new roundtrip between San Diego and San Luis Obispo, creating a 14<sup>th</sup> roundtrip between San Diego and Los Angeles, a 6<sup>th</sup> roundtrip between San Diego and Goleta, and a 3<sup>rd</sup> roundtrip between San Diego and San Luis Obispo
- Additional seasonal service for holidays and special events beyond what IS already provide for Del Mar, Comic Con, and Thanksgiving
- One percent ridership growth and a two percent revenue growth if service remains unchanged
- Two percent ridership growth and a three percent revenue growth if the additional round trip is implemented
- Modification of the existing Rail 2 Rail Program with Metrolink to a form that more equitably distributes both cost and revenue

- Modification of the existing Rail 2 Rail Program with COASTER to a form that more equitably distributes both cost and revenue
- Continuation of Pacific Surfliner Transit Transfer Program using remaining Transit and Intercity Rail Capital Program funds
- 16 full-time staff positions, with the addition of one full-time LOSSAN Project Manager and one full time LOSSAN Transportation Analyst
- Four percent performance-based merit increase pool for administrative employees, and three percent special award pool, consistent with Orange County Transportation Authority budget proposal for FY 2020-21
- Annual marketing budget of \$2 million, plus use of prior year surplus
- A multi-year capital improvement program utilizing all available funding sources
  - Minor capital revenue from the state at \$500,000 per year
  - State rail assistance funding of \$5.1 million per year
- Professional services budget of \$450,000 to fund audit and on-call consulting services for planning, modeling, project, and construction management
- Professional services budget of \$350,000, to fund environmental and final design consulting services

#### Next Steps

Staff will finalize the draft ABP and budget for FY 2020-21 and FY 2021-22, and return to the Board for review and approval in February 2020. Staff will finalize the draft ABP and budget for FY 2020-21 and FY 2021-22, and will provide the draft chapters to the Technical Advisory Committee (TAC) for review and comment in January 2020. A redline version, incorporating TAC input as appropriate, will be returned to the TAC prior to returning to the Board for initial review and approval in February 2020.

***Summary***

Staff has developed key assumptions for use in the Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency budget and business plan for fiscal year 2020-21 and fiscal year 2021-22. Staff will finalize the draft business plan and budget and return to the Board of Directors for initial review and approval in February 2020.

***Attachment***

None.

**Prepared by:**

A handwritten signature in black ink, appearing to read 'Roger M. Lopez', with a long horizontal line extending to the right.


Roger M. Lopez  
Manager, Planning and Analysis  
(714) 560-5438





**November 7, 2019**

**To:** Members of the Technical Advisory Committee

**From:** Jennifer L. Bergener, Managing Director 

**Subject:** Update on the Transit and Intercity Rail Capital Program Funded Projects and Layover Facility Expansions

### **Overview**

A report on the progress of the capital projects along the Los Angeles – San Diego – San Luis Obispo rail corridor in Ventura, Santa Barbara and San Luis Obispo counties that were funded by the 2018 Transit and Intercity Rail Capital Program grant award and the ongoing efforts to expand the Pacific Surfliner layover facilities in San Diego, Goleta, and San Luis Obispo, is presented for consideration.

### **Recommendation**

Receive and file as an information item.

### **Background**

In April 2018, the California State Transportation Agency (CalSTA) awarded approximately \$148 million of Transit and Intercity Rail Capital Program funds to the Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor Agency (Agency) for capital improvements along the rail corridor in Ventura, Santa Barbara and San Luis Obispo counties to design and construct additional track capacity, improve station access, upgrade signal and communications, expand the layover facility in the City of Goleta, and provide capitalized access incentives to the Union Pacific Railroad (UPRR) to improve reliability and on-time performance (OTP).

Additionally, CalSTA approved the \$300,000 requested in the LOSSAN Agency fiscal year (FY) 2018-19 budget for a San Diego County Layover and Maintenance Facility Study to evaluate potential locations for a new layover and maintenance facility for the Pacific Surfliner in San Diego.

In 2018, the California Department of Transportation Division of Rail and Mass Transportation (Caltrans DRMT) also programmed \$12.5 million in State Transportation Improvement Program funds to advance the Central Coast Layover

Facility (CCLF) Expansion project in San Luis Obispo through project approval and environmental clearance, design, and construction.

To prepare the Project Report and Environmental Documentation (PR/ED) for the CCLF Expansion Project and to initiate the San Diego County Layover and Maintenance Facility Study, consultant contracts were awarded in January 2019 and February 2019, respectively. In March 2019, the LOSSAN Agency Board of Directors (Board) authorized the Managing Director to enter into an agreement with Amtrak to perform the design of the expanded layover facility in the City of Goleta.

### ***Discussion***

Efforts are progressing to identify a location for a new San Diego County Layover and Maintenance Facility and to expand the existing layover facility in San Luis Obispo. In addition, there has been ongoing coordination with the UPRR to expand Pacific Surfliner service along the LOSSAN rail corridor in Ventura, Santa Barbara and San Luis Obispo counties.

### **Layover Facility Expansions**

Since the San Diego County Layover and Maintenance Facility Study kicked-off in April 2019, two Project Development Team meetings have been held in San Diego with staff participating from San Diego Metropolitan Transit System, San Diego Association of Governments, North County Transit District, Amtrak, Caltrans DRMT and the BNSF Railway. These meetings focused on discussing previously considered and new possible options for locations to construct the new layover and maintenance facility and to discuss the initial screening of identified locations to reduce the list of options down to six to move forward with in a more robust analysis and evaluation.

The Goleta Layover Facility Expansion project is adjacent to the Goleta Station Improvement project, which is being led by the City of Goleta, and coordination between the two projects is important to ensure compatibility with how the projects are being designed. Coordination with the City of Goleta has been delayed due to the length of time it has taken to reach consensus with Amtrak on the terms of an agreement to design the expanded layover facility. Now that consensus has been reached, the project will be advanced.

The CCLF Expansion project is proceeding with the alternative analysis task of the PR/ED effort, which began in May 2019. A stakeholder coordination meeting was held July 2, 2019 in San Luis Obispo with staff participating from Amtrak, San Luis Obispo Council of Governments (SLOCOG) and the City of San Luis Obispo to present an overview of the project and objectives, engage in a discussion on assumptions and design approach, and identify possible opportunities and constraints for the preliminary locations presented.

A programming workshop was also held with Amtrak in early October to discuss the space needs required for the ultimate build out of the proposed facility. UPRR has indicated a willingness to also participate to better understand the sites under consideration and the site requirements and LOSSAN Agency staff are looking to schedule this meeting in the coming weeks.

Capital Improvements on the UPRR Santa Barbara Subdivision

The LOSSAN Agency's 2018 TIRCP grant award included funding to address current and future constraints on the northern section of the LOSSAN rail corridor in Ventura, Santa Barbara, and San Luis Obispo counties by constructing additional double track and siding extensions, improving stations, upgrading signals and switches, and providing capitalized access incentives to the UPRR for improved Pacific Surfliner reliability and OTP.

In July 2019, UPRR staff met with LOSSAN Agency staff to present the results of the capacity modeling they had performed to evaluate the infrastructure improvements necessary to support additional service to Goleta and San Luis Obispo. LOSSAN Agency staff is currently coordinating with UPRR on identifying specific slots for expanded service north to San Luis Obispo in 2020 and prioritizing the projects identified through the UPRR modeling effort to support this goal. While the awarded TIRCP funds are enough to address the capital improvements necessary to operate an additional roundtrip, further funding will still be needed to implement the complete program of projects identified by UPRR. LOSSAN Agency staff will continue to work with Caltrans DRMT, CalSTA, UPRR and our member agencies going forward to identify additional funding sources to implement these projects.

***Summary***

The Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency was awarded approximately \$148 million of Transit and Intercity Rail Capital Program funds in 2018 to implement enhancements to the rail corridor between Los Angeles and San Luis Obispo. Additionally, funding was approved or programmed to study, and design expanded layover facilities in San Diego, Goleta, and San Luis Obispo. The San Diego County Layover and Maintenance Facility Study and the Central Coast Layover Expansion Project in San Luis Obispo continue to progress according to schedule since beginning in April and May 2019, respectively. The Goleta Layover Facility Expansion project was delayed due to the length of time it took to reach agreement with Amtrak on the terms of an agreement to design the expanded layover facility. Staff has been coordinating with the Union Pacific Railroad on identifying slots for expanding service north to San Luis Obispo in 2020 and prioritizing the projects identified through the Union Pacific modeling effort to support this goal.

***Attachment***

- A. Update Report on TIRCP Funded Projects and Layover Facility Expansions

**Prepared by:**



James D. Campbell  
Manager of Programs  
(714) 560-5390



# Update Report on TIRCP Funded Projects and Layover Facility Expansions

## OVERVIEW

As part of the effort to advance service expansion and enhancement goals for the Pacific Surfliner service, the Los Angeles – San Diego – San Luis Obispo (LOSSAN) Rail Corridor Agency (Agency) is managing efforts to add track capacity and improve on-time performance along the LOSSAN rail corridor in Ventura, Santa Barbara and San Luis Obispo counties and expand layover storage and maintenance capabilities in San Diego, Goleta and San Luis Obispo.

In April 2018, the California State Transportation Agency (CalSTA) awarded approximately \$148 million of Transit and Intercity Rail Capital Program funds to the LOSSAN Agency for capital improvements along the rail corridor in Ventura, Santa Barbara and San Luis Obispo counties to design and construct additional track capacity, improve station access, upgrade signal and communications, expand the layover facility in the City of Goleta, and provide capitalized access incentives to the Union Pacific Railroad (UPRR) to improve reliability and on-time performance.

Additionally, CalSTA approved the \$300,000 requested in the LOSSAN Agency fiscal year (FY) 2018-19 budget for the San Diego County Layover and Maintenance Facility Study to evaluate options for moving the overnight layover location for the Pacific Surfliner service away from the Santa Fe Depot.

In 2018, the California Department of Transportation Division of Rail and Mass Transportation (Caltrans DRMT) also programmed \$12.5 million in State Transportation Improvement Program funds to advance the Central Coast Layover Facility Expansion Project in San Luis Obispo through project approval and environmental clearance, design and construction.

To prepare the Project Report and Environmental Documentation (PR/ED) for the Central Coast Layover Facility Expansion Project and to initiate the San Diego County Layover and Maintenance Facility Study, consultant contracts were awarded in January 2019 and February 2019, respectively. In March 2019, the LOSSAN Agency Board of Directors authorized the Managing Director to enter into an agreement with Amtrak

to perform the design of the expanded layover facility in the City of Goleta.

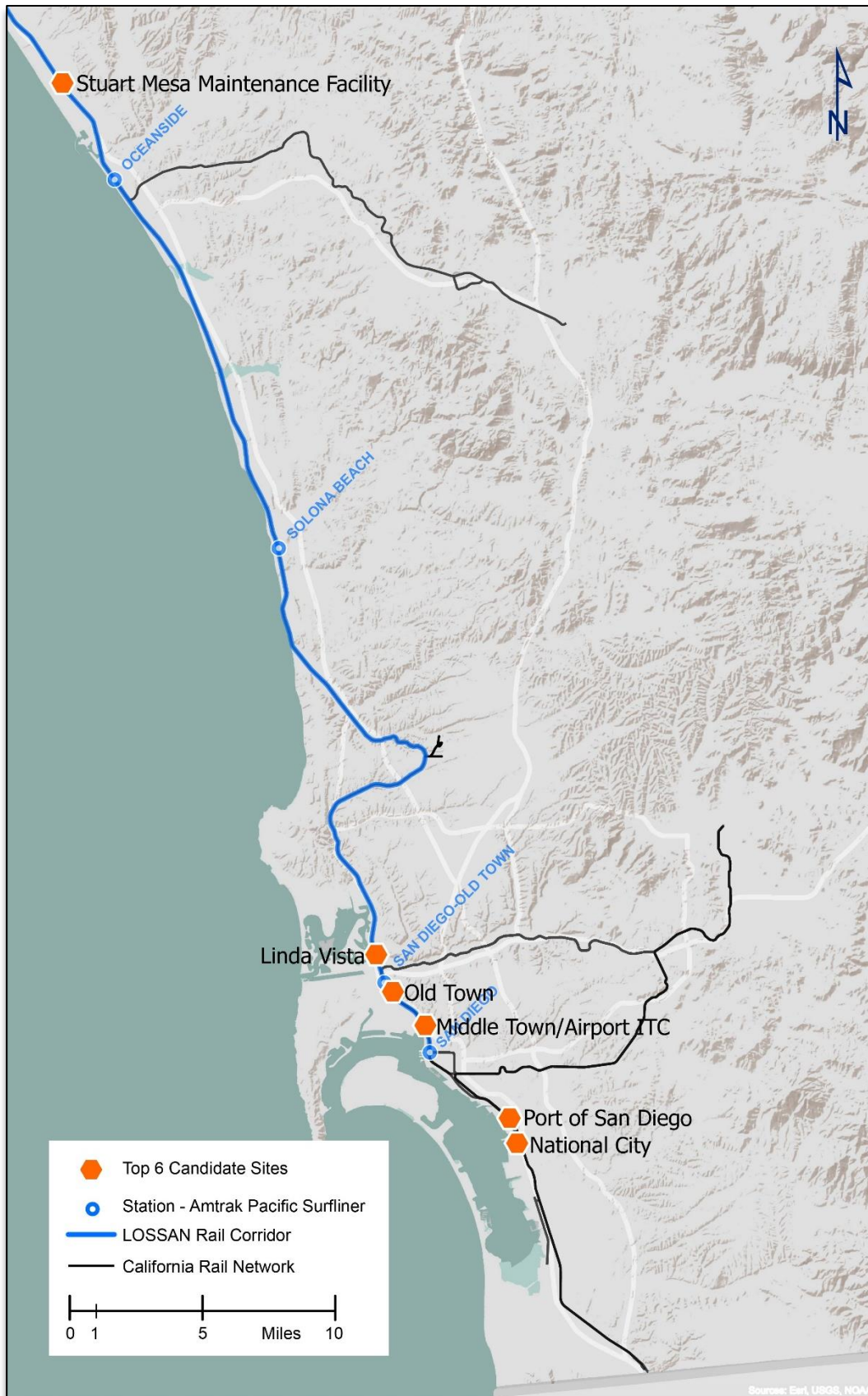
## SAN DIEGO COUNTY LAYOVER AND MAINTENANCE FACILITY

The existing Amtrak layover facility in San Diego is located at the Santa Fe Depot in downtown San Diego. This facility is physically constrained due to recent residential developments that have been constructed in recent years, which prohibits the ability to expand the existing facility to advance service expansion and enhancement goals for the Pacific Surfliner. The purpose of the San Diego County Maintenance and Layover Facility Study is to identify and evaluate potential locations for a new maintenance and layover facility in San Diego.

This project kicked-off in April 2019. As a first step, a Project Development Team (PDT) meeting was held in San Diego on June 18, 2019 with staff participating from San Diego Metropolitan Transit System, San Diego Association of Governments, North County Transit District, Amtrak and the BNSF Railway. The purpose of this meeting was to present an overview of the project and objectives and to engage in a discussion on the previous studies conducted to identify a maintenance facility and what from these studies may still be relevant. New location options for the new layover and maintenance facility were also discussed. The information and comments that came out of the meeting were documented in the Existing and Future Conditions report, which was transmitted to the PDT for review and comment before being finalized. Following the completion of this report, the consultant has proceeded with preparing the Goals and Evaluation Methodology report, which is currently being finalized, incorporating comments received from the PDT.

A second PDT meeting was held on Thursday, October 24th in San Diego and at this meeting, the PDT was asked to review the identified locations and discuss the initial screening with the intent of reducing the list of potential locations down to six to move forward with in a more robust analysis and evaluation. The six locations that were screened, based on input from the PDT, and will be moving forward in this study are presented in Figure 1.

*Figure 1: Six Candidate Locations for Further Evaluation*





## **Update Report on TIRCP Funded Projects and Layover Facility Expansions**

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The next steps in this study will be to complete the report summarizing the initial evaluation, prepare conceptual site configuration layouts for the top six locations, perform environmental constraint analyses and identify potential mitigation measures, perform the tier-2 screening of the remaining locations to narrow the options down to the top 2-3 and prepare the final report. A more detailed alternatives analysis will then be conducted as part of the next phase of the project to identify and recommend a single preferred location to move forward on preliminary engineering and environmental clearance. Funding for this next phase of the project is currently being identified with the assistance of Caltrans DRMT.

### **GOLETA LAYOVER FACILITY EXPANSION**

The Goleta Layover Facility Expansion (GLF) project will expand the storage capacity of the existing layover facility in the City of Goleta to accommodate proposed service expansion and enhancement goals.

The design of the GLF project, funded through \$240,000 of State Rail Assistance (SRA) funds and approximately \$143,000 of the nearly \$10 million awarded to this project through TIRCP, includes first developing a conceptual master site plan that reflects a full build-out concept for the facility. Defining a full build-out concept at this early stage is necessary to preserve the right-of-way and allow for the facility to be further expanded in the future as service continues to grow. The funding awarded through TIRCP covers construction of the first phase of the full build-out concept, which will allow for up to two Pacific Surfliner trains to layover at the facility once complete.

Amtrak already has a long-term lease with the UPRR for the property on which the existing layover facility is located and LOSSAN Agency staff have been attempting to work with Amtrak to execute an agreement to design the first phase of the expansion of the facility.

The project is adjacent to the Goleta Station Improvement project, led by the City of Goleta, making coordination important to ensure compatibility with how the projects are being designed. LOSSAN Agency staff and Amtrak have participated in two meetings with the City of Goleta, their consultants and the Santa Barbara County Association of Governments to define the anticipated space needs of the full build-out layover facility at a conceptual level to help the City understand the access needs for the GLF project.

Until recently, coordination with the City of Goleta had not progressed beyond the conceptual level due to the amount of time it has taken to reach consensus with Amtrak on the terms of the agreement for the design of the first phase of the GLF project. Now that agreement has been reached, the project is moving forward, and Amtrak is developing a scope of work that will be executed with a pre-qualified engineering consultant from their current engineering design bench. Further updates will be provided to the Board as this project progresses.

### **CENTRAL COAST LAYOVER FACILITY EXPANSION**

The existing layover facility in San Luis Obispo supports the storage of one Pacific Surfliner trainset overnight. The expansion of the facility is necessary to advance service expansion and enhancement goals for the Pacific Surfliner service.

Like the San Diego County Layover and Maintenance Facility Study, the Central Coast Layover Facility Expansion (CCLF) project is first performing an alternatives analysis to identify potential locations to construct the expanded facility. The alternatives analysis has been incorporated into the overall PR/ED effort, which began in May 2019. In July, the first stakeholder coordination meeting was held in San Luis Obispo with staff participating from Amtrak, San Luis Obispo Council of Governments (SLOCOG) and the City of San Luis Obispo. The purpose of this initial stakeholder meeting was to present an overview of the project and objectives, engage in a discussion on assumptions and design approach, and identify possible opportunities and constraints for the preliminary locations.

As part of the alternative analysis task, this project includes developing a conceptual master site plan that will present a full build-out design concept to identify the necessary right-of-way for the facility to be further expanded in the future. This will allow for the environmental process to clear the entire location at one time and avoid the need to prepare multiple environmental documents for each phase of the facility's construction in the future. The funding programmed through the STIP includes construction of the first phase of the full build-out concept, which will allow for up to two Pacific Surfliner trains to layover at the facility once complete.

Following the first stakeholder meeting, a draft basis of design report was prepared and distributed to the stakeholders, including UPRR, for review and comment. A programming

## Update Report on TIRCP Funded Projects and Layover Facility Expansions

workshop with Amtrak to discuss the space needs required for the full build-out of the proposed facility was held on October 1, 2019. A meeting to discuss the general site requirements for the full build-out concept was also scheduled with the City of San Luis Obispo and SLOCOG but was postponed at the request of the City. A brief discussion to update City staff on the project was had on October 30 and LOSSAN Agency staff are continuing to follow up with the City to reschedule a more formal meeting to discuss the site requirements. UPRR has also indicated a willingness to participate to better understand the sites under consideration, the associated site requirements, and to provide feedback. LOSSAN Agency staff are looking to schedule this meeting in the coming weeks.

The next steps for the CCLF project will be to finish gathering the necessary information and to develop site layout concepts that present conceptual track and building configurations for the full build-out at each of the proposed locations, review these concepts with the stakeholders and prepare the site alternatives report that will identify a recommended location to move into preliminary engineering and environmental clearance, after having been reviewed and approved by the stakeholders. The preliminary engineering performed for this project will be only for the first phase of the full build-out concept.

### CAPITAL IMPROVEMENTS ON THE UPRR SANTA BARBARA SUBDIVISION

The LOSSAN Agency's 2018 TIRCP grant award included funding to address current and future constraints on the northern section of the LOSSAN rail corridor in Ventura, Santa Barbara, and San Luis Obispo counties. This funding will be used to construct additional double track and siding extensions, improve stations, upgrade signals and switches, and provide capitalized access incentives to the UPRR for improved Pacific Surfliner reliability and on-time performance.

The TIRCP application submitted to CalSTA by the LOSSAN Agency made several assumptions on the necessary capital projects that would be necessary to support additional roundtrips between Los Angeles and Goleta / San Luis Obispo because service and capacity modeling results had not yet been received from the UPRR that would allow the project list

to more refined. The total estimated cost presented for the package of projects included in the application was \$196.6 million, which included funding for the capitalized access incentive, as well as construction of the first phase of the GLF project and a pedestrian underpass at the Camarillo station. Of the total estimated project cost included in the application, \$147.9 million received funding through the 2018 TIRCP grant and the remaining \$48.7 million is funded through other matching or reprogrammed funds.

In July 2019, UPRR staff met with LOSSAN Agency staff to present to the results of the modeling performed. The conclusions presented by UPRR on the capital projects necessary to support expanded service were consistent with the assumptions incorporated into the TIRCP application, however, additional items were added that focused on state of good repair elements.

For the projects included in the TIRCP application and award, the UPRR modeling results supported the need to install Centralized Traffic Control (CTC)<sup>1</sup> and power up switches that are currently hand thrown between Goleta and San Luis Obispo and add passing sidings between Ventura and Santa Barbara and between Oxnard and Camarillo. The estimated cost for these projects presented by UPRR suggested the possibility for some cost savings in the budget awarded in the TIRCP grant. This potential cost savings can be reprogrammed to address some of the additional items presented by UPRR. Subsequent discussion with CalSTA have confirmed the LOSSAN Agency's ability to utilize the funds that may become available from any cost savings on the TIRCP awarded projects, and reprogram these funds to other projects that were not specifically identified in our TIRCP application, so long as the funds are expended on projects along the same corridor and achieve the same overall service benefit and improvements presented in the TIRCP application.

LOSSAN Agency staff is currently coordinating with UPRR on identifying slots for expanding service north to San Luis Obispo in 2020 and prioritizing the projects identified through the modeling effort to support this goal. Based on these discussions to-date, the awarded TIRCP funds are sufficient to address the capital improvements necessary to implement an additional roundtrip. These projects would focus on installing CTC and powering up the existing hand thrown switches,

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<sup>1</sup> A method of railroad signaling and communications that consolidates train routing decisions at a central location or dispatch center.



## **Update Report on TIRCP Funded Projects and Layover Facility Expansions**

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upgrading existing track infrastructure, some of which is a century old, to remove existing slow orders, and executing the capitalized access incentive agreement. Additional funding will still be necessary to implement the complete program of projects identified by UPRR and allow further service expansion in the future. LOSSAN Agency staff will continue to work with Caltrans DRMT, CalSTA, UPRR and our member agencies going forward to identify additional funding sources to implement these projects.



**Los Angeles – San Diego – San Luis Obispo**  
**RAIL CORRIDOR AGENCY**

**2020 Transit and Intercity Rail Capital Program Update**  
***Supplemental Information***

## CALL FOR PROJECTS

### 2020 TRANSIT AND INTERCITY RAIL CAPITAL PROGRAM

**Summary:** This call for projects details application requirements and procedures to apply for funding under the California State Transportation Agency (CalSTA) Transit and Intercity Rail Capital Program (TIRCP) (Section 75224 of the Public Resource Code requires CalSTA to approve a new five-year program of projects not later than April 1, 2020. The 2020 TIRCP grant cycle will program projects starting with the 2020-21 fiscal year and ending with the 2024-25 fiscal year. The new program cycle will include previously awarded and active Cycle 3 projects that have not been fully allocated by the end of the 2019-20 fiscal year, and new projects from Cycle 4. The GGRF and SB 1 continue to provide substantial funding available to be programmed toward new projects in the TIRCP. While funding estimates for the program are considered reasonable as of the date of the guidelines, GGRF funds are subject to impacts from market forces and auction proceeds.

**Final Filing Date:**

Submission of electronic versions of the project cover letter and Project Narrative Document must be complete by **no later than 5:00 p.m. January 16, 2020**. Submission of a flash drive containing all project application materials in printable format, including supporting materials must be postmarked no later than 5pm on January 16, 2020 for the application to be considered complete.

**Submission Requirements:** Applications must be submitted electronically to [tircpcomments@dot.ca.gov](mailto:tircpcomments@dot.ca.gov) and a cover sheet and copy of all application files must be submitted by mail on a flash drive.

If submitting multiple applications, each application shall have its own separate flash drive. Convert the entire application into one (1) PDF file if possible. 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 standard paper sizes (letter, legal and ledger). Supporting documentation, such as the quantification calculations required for GHG analysis and jobs co-benefits tool, should also be submitted in an appropriate electronic form, such as Excel, for ease of review.

**ELECTRONIC SUBMISSIONS:**

The Program email account ([tircpcomments@dot.ca.gov](mailto:tircpcomments@dot.ca.gov)) can receive attachments totaling no more than 40MB. Should attachments total more than 40 MB, multiple emails, clearly numbered in sequence ("Email x of x" as part of the subject line), may be submitted.

**COVER SHEET AND FLASH DRIVES SHALL BE MAILED TO CALTRANS AT THE FOLLOWING ADDRESS:**

2020 Transit and Intercity Rail Capital Program  
Caltrans Division of Rail and Mass Transportation  
Office of Planning & Operations (MS 74)  
P.O. Box 942874  
Sacramento, CA 94274-0001  
Attn: Andy Cook, Office Chief

**Contact Information:** For further information regarding this solicitation, please contact the program electronically at: [tircpcomments@dot.ca.gov](mailto:tircpcomments@dot.ca.gov). If prospective applicants would like clarification on any requirements of the project application described in this solicitation, questions submitted prior to 5:00 p.m. December 13, 2019 will be considered for response in a Frequently Asked Questions (FAQs) section of the TIRCP website located at: <https://calsta.ca.gov/subject-areas/transit-intercity-rail-capital-prog>. Multiple FAQs may be released if questions throughout the project application development period, and applicants are encouraged to regularly check the website for review of FAQs that may be relevant to their application.

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

Location	Meeting Dates
Sacramento, CA	November 4, 2019
Los Angeles, CA	November 5, 2019 November 6, 2019
Oakland, CA	November 7, 2019 November 12, 2019 (limited availability)
Stockton, CA	November 8, 2019

Depending on the number of requests received, November 12, 2019 may be offered as a meeting date to accommodate a limited number of meeting requests, but the day will only be used for overflow, not as a primary meeting date.

Meeting requests should be submitted to [tircpcomments@dot.ca.gov](mailto:tircpcomments@dot.ca.gov) no later than **October 28, 2019**, specifying the preferred location or locations and the project or projects the agency would like to discuss. Agencies considering multiple applications or projects with significant project phasing should also specify this in the request. If an agency has the flexibility to participate at more than one location, indicating this will allow better balancing of available time with requests for meetings. Specific time slots will be assigned, and agencies notified by **October 31, 2019**, along with additional information related to the meeting arrangements. Meeting durations will generally be less than 60 minutes and only eligible agencies may request a pre-application meeting.

Applicants desiring feedback on specific questions in the pre-application meetings should submit questions no later than three business days prior to the scheduled meeting date. While not all questions may be addressed in the pre-application meeting, post-meeting Frequently Asked Questions may be developed with both CalSTA, California Air Resources Board or other agencies contributing answers to relevant questions and posted.

#### **Ridership and Revenue Modeling Support of Certain Rail Services:**

Caltrans will provide ridership and revenue modeling support using the ridership and revenue models (as used for development of the California State Rail Plan) for projects that make improvements that will impact intercity rail services. The specific project types that can be modeled are described below.

Caltrans will provide this service to the extent that the models have the capacity to model the specific proposed effort being submitted as part of the grant application.

Project types that can be modeled by the Caltrans rail 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 some commuter rail 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 intercity passenger rail 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](mailto:tircpcomments@dot.ca.gov)) as early as possible, but **no later October 28, 2019**. 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 one of the focused pre-application meetings 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 during the months of November and December. If an agency doesn’t contact and request of 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. Additionally, the Caltrans TIRCP website; <https://dot.ca.gov/programs/rail-and-mass-transportation/transit-and-intercity-rail-capital-program> contains certain application materials, forms, Frequently Asked Questions or additional materials and forms that support this solicitation and the administration of projects .

### **Section 1: Award Information**

#### ***1.1 Available Funding***

Senate Bill 9 requires this grant cycle to approve a five-year program of projects starting with State Fiscal Year (FY) 2020-21 and ending with 2024-25. This solicitation utilizes auction proceeds from the Green House Gas Reduction (GGRF) from continuous appropriation based on 10 percent of the Cap-and-Trade auction proceeds during the programming period of 2020-21 through 2024-25 as well as a specified portion of annual Senate Bill 1 revenues directed to TIRCP for new programming in this cycle. In total. The new capacity available for Cycle 4 is currently estimated at \$450-500 million, but could be adjusted based on auction proceeds and changing cash flow requirements of already awarded projects between now and April 2020 award announcement.

Senate Bill 9 authorizes CalSTA to enter into a multi-year funding agreement with an eligible applicant for any duration. CalSTA may use this authority to allow an allocation of funds for a project that would depend on revenue received subsequent to the allocation and could include funds received subsequent to the 2024-25 fiscal year thus impacting the total amount of available funding in future cycles.

CalSTA will adopt a program allocation plan for awarded projects prior to the first Cycle 4 allocations at the California Transportation Commission (Commission), including multiyear projects, tying allocation of funding to available funding in specified fiscal years. The program allocation plan may allow a project with construction over multiple years to have a commitment of funds programmed over a multi-year time span in order to enter into necessary contracts for construction. The plan will be updated prior to Commission allocation actions or at any other time between Commission meetings, as needed.

If a project is awarded funds, all funds identified as committed to the project may be required as a funding match at the time of project selection, and based on the matching percentage identified at the time of selection, a pro-rata reimbursement agreement (or other suitable agreement) may be established to ensure project savings are equitably distributed and that committed non-TIRCP funds are not supplanted.

### *1.2 Application Limits*

For the 2020 TIRCP solicitation, funding in the near term of the programming cycle (FY 2020-21 through FY 2022-23) with funding of at least \$100 million available and is ideal for applicants with ready to build projects that are completed within the first three years. However, larger projects that have longer timelines may find pre-construction phases well-aligned with this period, with construction funding being provided in larger amounts beginning in FY 2023-24. Longer-term projects (FY 2023-24 and beyond) should note that the higher funding levels are available for projects with longer delivery timelines. Agencies should consider risks related to potential cost escalation and have the plan and resources to manage projects over the time horizons. Applicants should be clear about any flexibility projects have in terms of when they can receive funding.

Agencies may submit multiple applications and the submitted projects, including any separable components, must be clearly ranked by the applicant based on agency priority. Agency ranking should provide a clear explanation of the agency's ranked prioritization.

Applicants are encouraged to identify separate project components that could provide independent utility 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. Projects eligible for funding is further outlined in Section 7 of the 2020 TIRCP Guidelines.

### 1.3 Application Review Process

Applications submitted 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, review and analysis of the jobs co-benefit modeling tool, and summarization of project to assist technical panel review
3. Initial rating of projects on each primary and secondary evaluation criterion, priority population benefits, and other additional factors described in the guidelines by multi-agency technical panels
4. Consideration of technical panel ratings, geographic equity and degree of priority population 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, and low-income communities, and/or low-income households consistent with the objectives of SB 535 and AB 1550

The Project Selection Process is further detailed in Section 10 of the 2020 TIRCP Guidelines.

## Section 2: Project Application Contents

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

1. **A signed 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/Executive Director/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 content is required as part of the project narrative. These requirements shall be satisfied through a narrative statement and may be supported by spreadsheets, tables, maps, drawings and other materials, as appropriate. The project narrative shall include an explanation of the project and its proposed benefits, including the following:

**A. Project Title Page**

- i. Project title, which should be a brief non-technical description of the project type, scope, and location
- ii. Applicant Name  
Clearly identify the lead applicant and co-applicant organization names
- iii. Project priority (if agency is submitting multiple applications). Explain the prioritization, including any state, regional or local planning efforts that support the ranking.



- iv. Project Purpose and Need
- v. Project Location  
Project location denoting the project site. Provide a KML/KMZ file for the project with the transit route/project location represented by lines and stops represented by points as applicable. Project location denoting disadvantaged communities, low-income communities and/or low-income households that will benefit from the project, as applicable, according to the CARB's 2018 Funding Guidelines.
- vi. Project Mode (s)  
Identify project modes from the following list:
  - 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
  - 12. Other (i.e. fixed guideway, monorail, people mover, etc. )
- vii. Multi-Agency Coordination  
Clearly identify if there is multi-agency coordination and with which agencies coordination is occurring
- viii. Green House Gas (GHG) Emissions Reductions  
Greenhouse gas reducing features such as the transportation corridors experiencing improved air quality, surrounding land use density, housing and employment centers, transit-oriented development/sustainable communities strategy projects, active transportation infrastructure and other features, to the extent available. Include the results of the CARB Quantification Methodology
- ix. Funding  
Clearly identify the amount of TIRCP funding requested and proposed non-TIRCP Matching Funds (if any)
- x. Designate a point of contact for the applicant that is an employee of the eligible applicant, including phone number, mailing address and email address.

## **B. Project Costs**

Documentation of the basis for the costs, benefits and schedules must be cited in the project application and made available upon request. The application should identify:

- i. Cost estimates should be escalated to the year of proposed delivery. Only cost estimates approved by the Chief Executive Officer or other authorized officer of the implementing agency should be used.
- ii. The amount and source of funds committed to the project (including funding for initial operating costs). A funding commitment is defined in section 11 of the 2020 TIRCP Program Guidelines.



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.

- If applicable, describe the leveraging and coordination of funding from other greenhouse gas reduction programs such as Caltrans' Low Carbon Transit Operations Program, the Hybrid and Zero-Emission Truck and Bus Voucher Incentive Program, the Strategic Growth Council's Affordable Housing and Sustainable Communities Program or the California Air Resources Board's Low Carbon Transportation funding program.
  - If applicable, describe the leveraging and coordination of funding from other federal, state, local, regional or private sources, with indication as to which of those sources are discretionary and which are non-discretionary (including competitive and noncompetitive).
- iii. The amount of TIRCP funds requested. TIRCP funds cannot be used to supplant other committed funds.
- iv. If applying for Network Integration as a separate component, please specifically indicate the costs.

**C. Eligibility**

Explain how the application meets the applicant eligibility criteria

**D. Project Benefits**

Provide a brief summary (approximately 200 words or 6 sentences) 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 previously awarded projects (2015, 2016, 2018) to use these summaries as a guide for project summaries

(<https://calsta.ca.gov/subject-areas/transit-intercity-rail-capital-prog> ).

Include a detailed project description that expands on the 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 benefits to disadvantaged communities, low-income communities, and/or low-income households expected as a result of 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 and include:

- i. A clear demonstration of the expected benefits and the proposed metrics for tracking and reporting on those benefits consistent with the most recent CARB Funding Guidelines.

- ii. The description of project benefits must address all the Primary and Secondary Evaluation Criteria listed below under Project Evaluation Section 9 [9.1, 9.2 & 9.3], indicating that a category is not applicable, or no benefits are expected, when that is the case. Reference to any connectivity to the planned High-Speed Rail system should be based on the most recent, currently approved High-Speed Rail Business Plan, located on the California High Speed Rail Authority's website.
- iii. 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).
- iv. When investment of TIRCP is proposed to improve private infrastructure, an assessment of public and private benefits to show that the share of public benefit is commensurate with the share of public funding.
- v. If a project will be competing for 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 California Air Resources Board's Low Carbon Transportation funding program) or from the Commission's Active Transportation or State Transportation Improvement Programs, the applicant must indicate if there are separable elements that will be funded from those other sources. The applicant must clearly explain any change to the benefits of the project if the funding from that source is not awarded to the project.
- vi. Identify studies or planning documents relevant to expected project benefits and include a copy of the referenced documents as an attachment.
- vii. If applying for Network Integration, specifically indicate the benefits and how the network integration work will enhance the overall project benefits.

#### **E. Project Impacts**

Include a thorough discussion of how the project addresses each of the evaluation criteria (noting where the project does not contribute to particular criteria) in the order provided in Section 9 of the 2020 TIRCP 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.

A discussion of the proposed project's impact, both favorable and unfavorable, on other transit services and projects planned or underway within the corridor, including intercity rail, transit or high-speed rail services in a parallel or connecting corridor. Impacted plans should be clearly identified and corresponding planning documents should be included as an attachment. If ridership of the other services is expected to be positively or negatively impacted by the proposed project, evidence of how the other services are to be impacted should be included in the application, including evidence of coordination with the other service providers and an estimate of multi-operator impacts where available. Project impacts that increase ridership on other services through increased transfers of passengers may be reflected in the quantification of GHG benefits only if the project also documents the ability of the connected corridor to provide capacity sufficient to accommodate the riders. If additional service must be operated by the adjoining operator, the operation of such service

must be included in the calculation of emissions related to the project. If an agency recognizes value in additional efforts to integrate services with other transportation providers or enhance station access (including by active transportation) during the post-award period (and prior to the beginning of service resulting from the project), a specific task and budget for the proposed activities should be included in the project application. During application review, if additional efforts are evaluated as necessary in order to successfully address integration with other projects, systems or corridors, CalSTA may propose an additional task and potentially assign additional funding to pursue such integration above and beyond what is requested in the project application, with the scope agreed to during development of the agreements necessary to implement the selected project.

**F. Disadvantaged Communities, Low Income Communities, and/or Low-Income Households**

If applicable, an explanation of how some or all of the project provides direct, meaningful, and assured benefits to a disadvantaged community, low income communities or low-income households. Identify a need of that community, including how the need was established identify the portion of the project, if any, that is located within a disadvantaged community or low-income community and that addresses the need (see Section 9.3 and Attachment 1).

- i. If an agency plans to engage in additional efforts to consult with disadvantaged or low-income stakeholders during the post-award period (and prior to the beginning of service resulting from the project), a specific task and budget for the proposed activities should be included in the project application. Such efforts may include plans for service implementation of the specific project, addressing station access issues specific to the stakeholders, as well as developing proposals for service changes and capital investments that may be funded through future capital or operating funds or through project cost savings. Activities that address community engagement may include, but are not limited to, public workshops/meetings, door-to-door canvassing, house meetings, established website and/or social media efforts, surveys, focus groups, subcontracts with community-based organizations to conduct outreach, allocation of staff or contractor positions focused on community engagement, and advisory bodies or other shared decision-making bodies.
- ii. The general scope of the proposed effort should be submitted in draft form but is considered subject to revision and development of additional detail prior to allocation of TIRCP funding for these activities. During application review, if additional efforts are seen as necessary in order to successfully address the needs of disadvantaged or low-income stakeholders, CalSTA may propose an additional task and potentially assign additional funding to pursue such consultations above and beyond what is requested in the project application, with the scope agreed to during development of the agreements necessary to implement the selected project.
- iii. Reference CARB's Priority Population Benefit Criteria Table for the TIRC Program and specify the particular criteria under which the project qualifies in accordance with the table. The criteria table can be found here:  
<https://ww2.arb.ca.gov/resources/documents/cqi-quantification-benefits-and-reporting-materials>
- iv. Provide a narrative explanation and supporting documentation stating the important need(s) being addressed for disadvantaged communities, low-income communities and/or low-income households, as well as the direct, meaningful benefits to disadvantaged communities and/or low-income communities provided by the

project, indicating the specific and the method for assuring these benefits will be achieved. In the description, clearly identify community outreach efforts used to identify the needs within the communities and households. The Priority Population Benefit Criteria Table for the TIRC Program should be specifically referenced in the narrative: <https://ww2.arb.ca.gov/resources/documents/cqi-quantification-benefits-and-reporting-materials>

**G. Employment and Workforce Development and Training Benefits**

If applicable, an explanation of how the project will provide employment and workforce development and training benefits to the community, particularly to priority populations. This explanation should be accompanied by a Community Workforce Agreement, Project Labor Agreement, or some other agreement made between the applying agency and unions, community-based organizations, or other partners.

**H. Address the ability to gather and analyze new datasets for public use and benefit as an outcome of the project.**

**I. Describe proposed project implementation and project management**

Include descriptions of the expected arrangements for project contracting, contract oversight, change-order management, and risk management.

**J. Describe project readiness and the Project Implementation Timeline**

In the description, include the following:

- 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**

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.

**A. The Statement of Work should address:**

**i. Project Scope**

Detailed description of project tasks, deliverables and milestones.

Project location - Provide a map for each of the following:

- Project location denoting the project site. Provide a KML/KMZ file for the project with the transit route/project location represented by lines and stops represented by points as applicable.
- Project location denoting disadvantaged communities, low-income communities, and/or low-income households that will benefit from the project, as applicable, according to the CARB 2018 Funding Guideline. If disadvantaged community, low-income community and/or low-income household benefits are claimed, identify the specific census tracts (for non- rail projects) or ZIP codes (for rail projects) containing a disadvantaged community, low-income community, and/or low-income household receiving benefits from

the proposed project. At a minimum, provide the census tract(s) or zip code(s) organized by county. Include a map illustrating the disadvantaged communities, low-income communities, and/or low-income households that benefit.

- Greenhouse gas reducing features such as the transportation corridors experiencing improved air quality, surrounding land use density, housing and employment centers, transit-oriented development/sustainable communities strategy projects, active transportation infrastructure and other features, to the extent available. If available, consider including the following information on maps related to the project:
- Land use diversity/mix of land uses specified on the map
- In addition to showing where housing exists, provide information on housing density *and* planned/zoned/permitted/etc. housing density
- In addition to illustrating existing employment centers, provide information on employment density, mix of employment types, and planned future employment land uses
- Current neighborhood walkability (e.g. see Affordable Housing and Sustainable Communities Program (AHSC) guidelines for sources of walkability data)
- Planned and existing active transportation infrastructure (what currently exists vs. what is planned vs. what would be funded by the project).

ii. **Project costs**

Documentation of the basis for the costs, benefits, and schedules must be cited in the project application and additional detail made available upon request.

The application should identify:

- Cost estimates should be escalated to the year of proposed delivery. Only cost estimates approved by the Chief Executive Officer or other authorized officer of the implementing agency should be used.
- The amount and source of funds committed to the project (including funding for initial operating costs). A funding commitment is defined in Section 11 of the TIRCP Guidelines.
- The amount of TIRCP funds requested by project component and/or phase. TIRCP funds cannot be used to supplant other committed funds.
- If applying for Network Integration as a separate component, please specifically indicate the costs.

iii. **Project schedule, including the project's current status and the completion dates of all 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).**

- Each application must include a Project Programming Request (PPR) form. A template of this form in Excel may be found at:  
<https://dot.ca.gov/programs/transportation-programming/office-of-capital-improvement-programming-ocip>.



- All applicants must demonstrate the ability to absorb any cost overruns and deliver the proposed project with no additional funding from this program beyond that provided in initial grant or cooperative agreement, and to fund initial operating costs. Please reference section 8, subsection 13 of the TIRCP guidelines for additional details.
- An eligible applicant may submit an application to fund a project over multiple fiscal years. The cost of each project component must be listed in the State fiscal year in which the particular project component needs to receive a Commission TIRCP allocation. Forenvironmental studies and permits, costs should be listed in the fiscal year during which environmental studies will begin. Costs for the preparation of plans, specifications, and estimates should be listed in the fiscal year during which this work will begin. Right-of-way costs should be listed in the fiscal year(s) during which each right-of-way acquisition (including utility relocation) contract will first be executed. Construction costs should be programmed in the fiscal year during which each construction contract needs to receive a Commission TIRCP allocation to be advertised, or if an agency can receive TIRCP construction funding over multiple fiscal years to fund a contract of extended duration, a reflection of all years in which construction funding is required to meet expected contract requirements.
- If a project is expected to require multiple contracts for any stage of project development, each contract should be listed separately with its respective funding requirements, so that Commission TIRCP allocations may be sought in the programming years close to the specific contract need and funding allocations are put to timely use.
- Applicants are encouraged to submit a narrative explanation or supplement to the PPR to reflect the proposed contracting approach and describe the ability of the project to receive funds on alternative allocation schedules. If a project has a special cash flow consideration that would benefit from TIRCP funds being available at a particular time, please describe this in the application.
- If a project is only requesting funds for a particular phase of the proposed project, such as a construction contract expected to be awarded in a specific year of the program, identify the prior phases and funding associated with them. Under these circumstances, the TIRCP funding allocation may be conditioned on achieving bid-ready status, or another appropriate contingency.
- Description of project elements that are separable or scalable based on available funding, if applicable, while still maintaining independent utility. For example, if an application is for improving service on three routes, each route should be separately described and prioritized so that the highest-priority portion of the application could be funded if resources are not sufficient for full project funding. If some or all of the project is already programmed using state or federal funds, the application must clearly explain if and how the scope of the project has changed since the most recent state or federal programming action. If the project is not scalable, the applicant should provide background detailing why it is not practical for it to be phased or scaled.

#### **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. Letters of support for project implementation, including letters from:**

- i. Project partners essential to project implementation, such as host railroads or facility owners. If TIRCP funds are to be used at a later stage of project implementation (such as construction), and an agency is able to commit to delivering the project goals with no additional TIRCP funding (supplementing if necessary from non-TIRCP sources), letters of support may indicate overall support for the project as described in the application and willingness to engage in best efforts to achieve a formal agreement for the construction elements of the project that will still require a future stakeholder agreement. Commission allocation of awarded TIRCP funding for such future construction will be conditioned on such agreements being finalized and the project being implemented in a manner consistent with original application.
- ii. A Metropolitan Planning Organization (MPO), indication that the project is or is not consistent with an adopted Sustainable Communities Strategy, or in non-MPO regions, a regional plan to reduce greenhouse gas emissions. (It is not necessary for establishment of project eligibility for an MPO to indicate its specific support for the project.) Especially in the case of large capital projects, inclusion of applicable financially constrained SCS will be noted as evidence of regional funding commitment and enhanced likelihood of successful project delivery.
- iii. Regional agency or agencies.
- iv. Members of the community, including representatives of impacted disadvantaged or low-income communities. Letters from community organizations stating their recognition of benefits from the project are encouraged.
- v. Additional stakeholders relevant to the proposed project.

**C. Ridership, Revenue, & Transportation Planning Inputs (Optional)**

Applicants are encouraged to provide a description of the considerations and factors used for the inputs and outputs of ridership, revenue and regional growth calculations, either as a narrative summary, analytical data or a combination of both. Details for housing and jobs considerations can be provided and the information should provide insights that will assist the evaluation teams and document the basis for both year 1 and year F calculations used for all benefit quantifications. Additional information can also be provided on any regional or local considerations of importance in connection with existing transportation planning processes used as part of the application.

## **5. Reporting**

Basic project application information from all applications will be posted prior to awarding funding. After projects are selected, CalSTA will post the status of all project applications to its website.

Each project will be required to track and report on project status and benefits. CalSTA encourages project applicants to carefully consider how to track the status and benefits of the proposed project, including having project budgets that allow for an appropriate level of before and after data collection and analysis (e.g., greenhouse gas reductions, diesel particulate matter reductions, increased transit service for disadvantaged community residents, etc.). This tracking could take the form of customer surveys made before and after the proposed project, specific data analysis before and after the project, or other efforts. Since this is an ongoing funding program of the state, developing lessons learned and good supporting data are critical to future program effectiveness.

Consistent with CARB's Funding Guidelines, beginning with this round of funding, local agencies will now be required to report on job co-benefits, in addition to all other reporting requirements. Job co-benefits refer to California jobs supported, not created, by California Climate Investments. Jobs supported by California Climate Investments include direct, indirect, and induced employment.

At the time of application, applicants are required to submit a job co-benefit modeling tool, which is based upon a co-benefit assessment methodology developed by CARB. This modeling tool will be required to be submitted with the application. The jobs co-benefit modeling tool can be accessed here: <https://ww2.arb.ca.gov/resources/documents/ccj-methodologies>



# 2020 TRANSIT AND INTERCITY RAIL CAPITAL PROGRAM GUIDELINES

OCTOBER 18, 2019

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# TRANSIT AND INTERCITY RAIL CAPITAL PROGRAM

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## 1 Authority and Purpose

The Transit and Intercity Rail Capital Program (TIRCP) was created by Senate Bill (SB) 862 (Chapter 36, Statutes of 2014) and modified by SB 9 (Chapter 710, Statutes of 2015), to provide grants from the Greenhouse Gas Reduction Fund (GGRF) to fund transformative capital improvements that will modernize California's intercity, commuter, and urban rail systems, and bus and ferry transit systems, to significantly reduce emissions of greenhouse gases, vehicle miles traveled, and congestion. The legislation of these bills is codified in Sections 75220 through 75225 of the Public Resources Code (PRC). Assembly Bill (AB) 398 (Chapter 135, Statutes of 2017) extended the Cap-and-Trade Program that supports the TIRCP from 2020 through 2030. SB 1 (Chapter 5, Statutes of 2017) continues to provide a historic funding increase for transportation with funds directed to the TIRCP from the Public Transportation Account for new programming in this cycle.

Section 75224 of the PRC requires the California State Transportation Agency (CalSTA) to approve a new five-year Program of Projects not later than April 1, 2020. The 2020 TIRCP grant cycle will program projects starting with the 2020-21 fiscal year and ending with the 2024-25 fiscal year. The new program cycle will include previously awarded and active Cycle 3 projects that have not been fully allocated by the end of the 2019-20 fiscal year, and new projects from Cycle 4. The GGRF and SB 1 continue to provide substantial funding available to be programmed toward new projects in the TIRCP. While funding estimates for the program are considered reasonable as of the date of the guidelines, GGRF funds are subject to impacts from market forces and auction proceeds.

These guidelines describe the policy, standards, criteria, and procedures for the development, adoption, evaluation and administration of the TIRCP. The guidelines were developed in consultation with the California Air Resources Board (CARB), the California Transportation Commission (Commission), the Department of Transportation (Caltrans), and the Strategic Growth Council (SGC), and will be further informed by input received through workshops, public comments and written responses.

## 2 Background

AB 32 (Chapter 488, Statutes of 2006), the Global Warming Solutions Act of 2006, AB 32 created a comprehensive program to reduce greenhouse gas emissions in California. AB 32 requires California to reduce greenhouse gas emissions to 1990 levels by 2020, and to maintain and continue reductions beyond 2020. SB 32 (Chapter 249, Statutes of 2016) established a climate goal for California to reduce greenhouse gases to 40 percent below 1990 levels by 2030.

The Cap-and-Trade Program, a key element in California's Climate Change Scoping Plan, implements measure to achieve greenhouse gas reduction goals. It creates a limit on the emissions from sources responsible for 85 percent of California's greenhouse gas emissions, establishes the price signal needed to drive long-term investment in cleaner fuels and more efficient use of energy, and gives covered entities flexibility to implement the lowest-cost options to reduce greenhouse gas emissions.

In 2012, the Legislature passed and Governor Brown signed into law three bills, AB 1532 (Chapter 807, Statutes of 2012), SB 535 (Chapter 830, Statutes of 2012), and SB 1018 (Chapter 39, Statutes of 2012), that established the GGRF to receive the State's portions of proceeds from the distribution of allowances via auction and provided the framework for how those auction proceeds will be appropriated and expended. Subsequent legislation, AB 1550 (Chapter 369, Statutes of 2016), modified requirements for expenditures from the GGRF relative to disadvantaged communities and low-income communities and households. State law requires that expenditures from the GGRF be used to facilitate the achievement of greenhouse gas emission reductions. In addition, Transit and Intercity Rail Capital Program expenditures must comply with the requirements contained in SB 862 and SB 9, which provide statutory direction for the program.

### 3 Objectives

The TIRCP was created to fund transformative capital improvements that modernize California's intercity rail, bus (including feeder buses to intercity rail services, as well as vanpool services that are eligible to report as public transit to the Federal Transit Administration), ferry, and rail transit systems (collectively referred to as transit services or systems inclusive of all aforementioned modes unless otherwise specified) to achieve all of the following policy objectives, as codified in Section 75220(a) of the PRC:

1. Reduce emissions of greenhouse gases
2. Expand and improve transit service to increase ridership
3. Integrate the rail service of the state's various rail operations, including integration with the high-speed rail system
4. Improve transit safety

Additionally, Section 75221(c) of the PRC codifies a programmatic goal to provide at least 25 percent of available funding to projects that provide a direct, meaningful, and assured benefit to disadvantaged communities, consistent with the objectives of SB 535. AB 1550 provides further requirements related to ensuring investments meet the needs of priority populations, a term used to cover disadvantaged communities, low-income communities and low-income households. Investments made by TIRCP are expected to collectively meet or exceed the requirements in AB 1550.

Taken as a whole, the increases in transit system ridership, as well as the reduction in vehicle miles traveled, congestion and greenhouse gas emissions, will help deliver a healthier and safer transportation system. Investments are expected to position the state to lead in the deployment of cutting edge and zero emission technologies, test innovative strategies and new approaches to reducing transportation-related fatalities, provide important new capacity in corridors that support growth in jobs and housing, and to expand multimodal transportation access and options for all Californians across all regions of the state.

### 4 Funding

The TIRCP receives a portion of the Transportation Improvement Fee revenues established by SB 1 and a continuous appropriation of 10 percent from the quarterly Cap-and-Trade auction proceeds deposited in the GGRF, plus any annual budget allocations provided by enacted budget bills.

The TIRCP fund estimate, award amount and the adopted program for TIRCP will be based on anticipated revenue through 2024-25 (as included in the call for projects). Section 75224(d) of the PRC authorizes CalSTA to enter into a multiyear funding agreement with eligible applicants for any duration. CalSTA may use this authority to program funds for a project that would depend on funds received subsequent to the five-year program, primarily intended for projects that have long construction timelines that extend beyond the 2024-25 fiscal year. The goal of such a plan is to allow a project with construction over multiple years to have a commitment of funds programmed over multiple years in order to enter into necessary contracts for construction

As provided in statute, CalSTA may revise its approved Program of Projects and/or Program Allocation Plan as necessary, including deletion or delay of projects based on a shortfall of funding or lack of project progress. The Program Allocation Plan will reflect planned multi-year funding amounts for any projects or project elements expected to receive their funding over more than one year, and may be adjusted at any time to address project or program needs and to align allocations with revenues.

## 5 Schedule

### 2020 Cycle 4 Draft Guidelines

#### Draft Guidelines Workshops

Southern CA (Los Angeles)

October 14, 2019

Northern CA (Oakland)

October 15, 2019

#### Closing Date for Comments on Draft Guidelines \*

October 15, 2019

#### CalSTA Publishes 2020 Cycle 4 Guidelines

October 18, 2019

#### Call for Projects 2020 Cycle 4

October 18, 2019

Optional, time-limited, focused meetings for applicants to discuss project concepts and quantifications (by request and to be scheduled in various locations; Northern CA, Southern CA and Central Valley)

Nov 4 through

Nov 12, 2019

#### Project Applications Due

January 16, 2020

#### CalSTA Award Announcement

April 1, 2020

\*Comments can be submitted to: [tircpcomments@dot.ca.gov](mailto:tircpcomments@dot.ca.gov)

## 6 Eligible Applicants

Eligible applicants must be public agencies, including joint powers agencies, that operate or have planning responsibility for existing or planned regularly scheduled intercity or commuter passenger rail service (and associated feeder bus service to intercity rail services), urban rail transit service, or bus or ferry transit service (including commuter bus services and vanpool services). Public agencies include construction authorities, transportation authorities, and other similar public entities created by statute.

An applicant assumes responsibility and accountability for the use and expenditure of allocated funds. Applicants must comply with all relevant federal and state laws, regulations, policies, and procedures.

Private companies may partner with eligible applicants to propose and deliver projects.

## 7 Eligible Projects

Eligible applicants may submit project applications individually or as part of a joint application. In order to be eligible for funding under this program, a project must demonstrate that it will achieve a reduction in greenhouse gas emissions using the CARB quantification methodology.

As codified in Section 75221(a) of the PRC, projects eligible for funding under the program include, but are not limited to, the following:

1. Rail capital projects, including intercity rail, commuter rail, light rail, and other fixed guideway projects. Additionally, the acquisition of rail cars and locomotives, and the facilities to support them, that expand, enhance, and/or improve existing rail systems and connectivity to existing and future transit systems, including the high-speed rail system.
2. Intercity, commuter, and urban rail projects that increase service levels, improve reliability, or decrease travel times, infrastructure access payments to host railroads in lieu of capital investments, efforts to improve existing rail service effectiveness with a focus on improved operating agreements, schedules, and minor capital investments that are expected to generate increased ridership, as well as larger scale projects designed to achieve significantly larger benefits.
3. Rail, bus, and ferry integration implementation, including:
  - a. integrated ticketing and scheduling systems and related capital investments (including integration with bus or ferry operators)
  - b. projects enabling or enhancing shared-use corridors (both multi-operator passenger only corridors as well as passenger-freight corridors)
  - c. related planning efforts focused on, but not limited to, delivery of integrated service not requiring major capital investment
  - d. other service integration initiatives

4. Bus rapid transit and other bus and ferry transit investments (including vanpool services operated as public transit and first-/last-mile solutions), and to increase ridership and reduce greenhouse gas emissions. This includes large scale deployment of zero emission vehicles and the technologies to support them, and capital investments as a component implementing transit effectiveness studies that will contribute to restructured and enhanced service.

CalSTA intends to fund a small number of transformative projects that will significantly reduce vehicle miles traveled, congestion, and greenhouse gas emissions by: (1) creating a new transit system (2) increasing the capacity of an existing transit system, or (3) otherwise significantly increasing the ridership of a transit system. Significant change will be measured both in percentage terms (percent increase compared to the existing system or corridor) and in total quantity terms (increase in number of riders and passenger miles per day). Benefits from the proposed project may accrue from ridership generated on more than one transit system or corridor due to integration, and such benefits may be counted as long as the connected system or corridor has sufficient capacity to carry the increased passenger demand.

The awarded projects may include, for example, both lower-cost projects focused on integration, reliability and enhancement of service, and higher-cost capital expansion projects. In addition, CalSTA seeks projects that link housing with key destinations and that improve accessibility to economic opportunities. CalSTA may also make some funding available for demonstration projects that are smaller-scale efforts with great potential to be expanded. Projects may include new approaches to attracting increased ridership such as smart phone mobile ticketing, contactless payment, or other software and hardware solutions to reduce ticketing transaction costs, or a test of a concept related to integrated ticketing, as well as intercity rail/transit effectiveness or operational planning as a component of the capital investments in improved, expanded and/or restructured service designed to cost-effectively increase ridership.

Addressing the integration of rail and transit referenced in the TIRCP objectives and described in the eligible projects will require attention to network integration amongst rail and transit services. Improving integration will improve connectivity and the seamlessness of the travel experience for users by eliminating points of friction during a public transportation journey, and as a result increase ridership across multiple corridors and/or systems. These points of friction come in many forms, including but not limited to a lack of universal trip-planning information, poor service design and uncoordinated schedules, incompatible fare and ticketing policies between agencies, and unsafe and inconvenient physical connections between modes. Examples of types of network integration projects include:

- Coordinated schedule and timetable planning between agencies to reduce transfer wait times and improve the seamlessness of the travel experience, and the capital projects necessary to improve such coordination and operations;
- Integrated station design to accommodate existing and planned services and their service expansions, and capital projects necessary to invest in hubs at such stations;
- Planning to determine opportunities to co-locate maintenance and yard facilities, as needed, and capital projects to invest in such facilities;
- Service and infrastructure needs analysis to determine the feasibility of new or expanded systems that better integrate service, and the capital investment necessary to implement such services;
- Station area improvements to facilitate better land uses and access by active or shared mobility modes.

Network integration can be its own component in the application with its own scope, schedule and budget, but it must relate to the overall capital project being proposed. Where relevant, it should demonstrate support of the integration demonstrated in the vision laid out in the 2018 California State Rail Plan. CalSTA may elect to include additional network integration funding as part of a TIRCP award if it is determined that there is a need not adequately addressed by the applicant, especially if integration can be improved with regards to adjacent state-funded capital projects or state-funded rail operations. If funding for network integration is awarded to an applicant, CalSTA and Caltrans may provide technical assistance and ensure that TIRCP program and statewide goals and priorities are being addressed through the work.

An applicant submitting multiple project applications must clearly prioritize its project applications. Applicants are also encouraged to identify phases or priorities within each project application, if applicable, so that available resources may be awarded to a phase or priority if the full project cannot be funded. Applicants submitting a high-dollar, single application with no scalability or separable project elements may increase the risk of having an uncompetitive project application. At the same time, applicants are advised to submit projects that are scalable where practical. In the event that available program resources expand or contract prior to the completion of the programming cycle, the CalSTA may revise the funding available for the programming cycle.

While there is no minimum match requirement for this funding source, funding leverage is desirable and will be considered in the evaluation of expected project benefits. In particular, emphasis will be placed on projects that leverage funding from other greenhouse gas reduction programs such as Caltrans' Low Carbon Transit Operations Program, the SGC's Affordable Housing and Sustainable Communities and Transformative Climate Communities Programs, CARB's Low Carbon Transportation funding program, or the Hybrid and Zero-Emission Truck and Bus Voucher Program (HVIP), leveraging of funding from SB1 sources (including formula program sources), or the leveraging of funding from other federal, state, local, regional, or private sources (including potential local transportation funding measures, as further detailed in Section 11), with consideration of those sources that are discretionary (including competitive and noncompetitive funding sources) compared to those that are non-discretionary. A recipient of money under the program may combine funding from the program with other state funding (if allowed), including, but not limited to, the State Transportation Improvement Program, the Low Carbon Transit Operations Program, clean vehicle programs, and state transportation bond funds.

If a project is awarded funds, all funds identified as committed to the project may be required as a funding match at the time of project selection and, based on the matching percentage identified at the time of selection, a pro-rata reimbursement agreement (or other suitable agreement) may be established to ensure project savings are returned proportionally. Project completion savings are returned proportionally except when an agency has committed additional funds to the project to fund a cost increase. In such instances, savings at project completion may be returned to other fund types first, until proportions match those at programming. If capital assets are removed from service before the end of their useful life, pro-rata repayment of grant funds may be required.

Redeployment of capital assets to achieve similar, or greater, benefits more effectively may be permitted, but must be documented (with documentation including a detailed justification of the requested redeployment) by the grantee and approved in advance by CalSTA. For example, once a project is operational, and after monitoring service performance and determining that it was not performing as expected, redeploying bus service to achieve greater greenhouse gas reductions or better serve priority populations based on current needs may be permitted.

If an implementing agency receives funding for a project that is to be completed with other funds (for example, a project which receives funds for plans, specifications, and estimates from the TIRCP but which will receive local measure funding for construction), that agency is required to complete the project as proposed. If the project is not completed and put into service as awarded, the agency may be required to fully or partially repay funds from the TIRCP commensurate with the failure to complete the project and deliver anticipated reductions in greenhouse gas emissions.

Prior to the project application due date, CalSTA intends to invite interested eligible applicants to optional meetings (as outlined in the calendar section of the document) to discuss proposed project concepts and greenhouse gas reduction quantification in order to clarify program requirements.

## 8 Project Applications

Applications must be submitted in accordance with the Call for Projects and by January 16, 2020.

Applications will be treated in accordance with Public Records Act requirements and certain information, subject to those requirements, may be publicly disclosed.

Each project application must include a signed cover letter, with signature authorizing and approving the application.

The project application shall include:

1. Project title, which should be a brief non-technical description of the project type, scope, and location.
2. Project priority (if agency is submitting multiple applications). Explain the prioritization, including any state, regional or local planning efforts that support the ranking.
3. Project purpose and need.
4. Project scope.
5. Project Location – provide a map for each of the following:
  - A. Project location denoting the project site. Provide a KML file for the project with the transit route/project location represented by lines and stops represented by points as applicable.  
Project location denoting disadvantaged communities, low-income communities, and/or low-income households that will benefit from the project (Attachment 1, CCI Funding Guidelines).
  - B. Greenhouse gas reducing features such as the transportation corridors experiencing improved air quality, surrounding land use density, housing and employment centers, transit-oriented development/sustainable communities strategy projects, active transportation infrastructure and other features, to the extent available. If available, consider including the following information on maps related to the project, as these will help in evaluating many of the secondary evaluation criteria:
    - Land use diversity/mix of land uses specified on the map
    - In addition to showing where housing exists, provide information on housing density *and* planned/zoned/permitted/etc. housing density;
    - In addition to illustrating existing employment centers, provide information on employment density, mix of employment types, and planned future employment land uses.
    - Current neighborhood walkability (e.g., see Affordable Housing and Sustainable Communities Program (AHSC) guidelines for sources of walkability data);
    - Planned and existing active transportation infrastructure (what currently exists vs. what is planned vs. what would be funded by the project)
6. Project costs.  
Documentation of the basis for the costs, benefits and schedules must be cited in the project application and additional detail made available upon request. The application should identify:
  - A. Cost estimates escalated to the year of proposed delivery. Only cost estimates approved by the Chief Executive Officer or other authorized officer of the implementing agency should be used.
  - B. The amount and source of funds committed to the project (including funding for initial operating costs). A funding commitment is defined in Section 11 of this document.



- C. The amount of TIRCP funds requested. TIRCP funds cannot be used to supplant other committed funds.
  - D. If applying for Network Integration as a separate component, please specifically indicate the costs.
7. Project schedule including benefits reporting, the project's current status and the completion dates of all major delivery milestones.
8. Project benefits:
- A. A clear demonstration of the expected benefits and the proposed metrics for tracking and reporting on those benefits consistent with the CARB's Funding Guidelines.
  - B. The description of project benefits that address all of the Primary and Secondary Evaluation Criteria listed below under Project Selection Process (Section 9), indicating that a category is not applicable, or no benefits are expected when that is the case.
  - C. 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).
  - D. When investment of TIRCP is proposed to improve private infrastructure, an assessment of public and private benefits to show that the share of public benefit is commensurate with the share of public funding.
  - E. If a project will be applying for funding from other greenhouse gas reduction programs (such as Caltrans' Low Carbon Transit Operations Program, the SGC's Affordable Housing and Sustainable Communities Program or the CARB's Low Carbon Transportation funding program) or from the Commission's Active Transportation or other program, an indication if there are separable elements that will be funded from those other sources and the applicant must clearly explain any change to the benefits of the project if the funding from that source is not awarded to the project.
  - F. Identify and include as an attachment all studies or planning documents relevant to the proposed project.
  - G. If applying for Network Integration, specifically indicate the benefits and how the network integration work will enhance the overall project benefits.
  - H. A discussion of the proposed project's impact, both favorable and unfavorable, on other transit services and projects planned or underway within the corridor, including intercity rail, transit or high-speed rail services in a parallel or connecting corridor. Impacted plans should be clearly identified, and corresponding planning documents should be included as an attachment. If ridership of the other services is expected to be positively or negatively impacted by the proposed project, evidence of how the other services are to be impacted should be included in the application, including evidence of coordination with the other service providers and an estimate of multi-operator impacts where available. Project impacts that increase ridership on other services through increased transfers of passengers may be reflected in the quantification of GHG benefits only if the project also documents the ability of the connected corridor to provide capacity sufficient to accommodate the riders. If additional service must be operated by the adjoining operator, the operation of such service must be included in the calculation of emissions related to the project. If an agency recognizes value in additional efforts to integrate services with other transportation providers or enhance station access (including by active transportation) during the post-award period (and prior to the beginning of service resulting from the project), a specific task and budget for the proposed activities should be included in the project application. During application review, if additional efforts are evaluated as necessary in order to successfully address integration with other projects, systems or corridors, CalSTA may propose an additional task and assign additional funding to pursue such integration above and beyond what is requested in the project application, with the scope agreed to during development of the agreements necessary to implement the selected project.

9. If applicable, an explanation of how some or all of the project provides direct, meaningful, and assured benefits to a disadvantaged community, low income communities or low-income households. Identify a need of that community, including how the need was established identify the portion of the project, if any, that is located within a disadvantaged community or low-income community and that addresses the need (see Section 9.3 and Attachment 1).
  - A. If an agency plans to engage in additional efforts to consult with disadvantaged or low-income stakeholders during the post-award period (and prior to the beginning of service resulting from the project), a specific task and budget for the proposed activities should be included in the project application. Such efforts may include plans for service implementation of the specific project, addressing station access issues specific to the stakeholders, as well as developing proposals for service changes and capital investments that may be funded through future capital or operating funds or through project cost savings. Activities that address community engagement may include, but are not limited to, public workshops/meetings, door-to-door canvassing, house meetings, established website and/or social media efforts, surveys, focus groups, subcontracts with community-based organizations to conduct outreach, allocation of staff or contractor positions focused on community engagement, and advisory bodies or other shared decision-making bodies.
  - B. The general scope of the proposed effort should be submitted in draft form, but revision and development of additional detail prior to allocation of TIRCP funding for these activities may be requested by CalSTA in order to increase the benefits of the effort. During application review, if additional efforts are seen as necessary in order to successfully address the needs of disadvantaged or low income stakeholders, CalSTA may propose an additional task and potentially assign additional funding to pursue such consultations above and beyond what is requested in the project application, with the scope agreed to during development of the agreements necessary to implement the selected project.
10. If applicable, an explanation of how the project will provide employment and workforce development and training benefits to the community, particularly to priority populations. This explanation should be accompanied by a Community Workforce Agreement, Project Labor Agreement, or some other agreement made between the applying agency and unions, community-based organizations, or other partners. If such activities are being conducted as part of the project, budget and scope elements should reflect the level of effort anticipated.
11. Address the ability to gather and analyze new datasets for public use and benefit as an outcome of the project.
12. 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).
13. Each application must include a Project Programming Request (PPR) Form. A template of this form in Excel may be found at: <https://dot.ca.gov/programs/transportation-programming/office-of-capital-improvement-programming-ocip>.
  - A. Each Project Programming Request must list Federal, State, and local funding categories by fiscal year. All applicants must demonstrate the ability to absorb any cost overruns and deliver the proposed project with no additional funding from this program beyond that provided in initial grant or cooperative agreement, and to fund initial operating costs. If the project is a scope addition to a project programmed in an earlier TIRCP cycle the revised PPR must not show supplanting of previously committed non-TIRCP funds.
  - B. An eligible applicant may submit an application to fund a project over multiple fiscal years. The cost of each project component must be listed in the state fiscal year in which the particular project component needs to receive a Commission TIRCP allocation. For environmental studies and permits, costs should be listed in the fiscal year during which

environmental studies will begin. Costs for the preparation of plans, specifications and estimates should be listed in the fiscal year during which this work will begin. Right of way costs should be listed in the fiscal year(s) during which each right of way acquisition (including utility relocation) contract will first be executed. Construction costs should be programmed in the fiscal year during which each construction contract needs to receive a Commission TIRCP allocation to be advertised, and if an agency can receive TIRCP construction reimbursements over multiple fiscal years to fund a contract of extended duration, the application should list the amounts by fiscal year over which construction funding is required to meet expected contract requirements.

- C. If a project is expected to require multiple contracts for any stage of project development, each contract should be listed separately with its respective funding requirements, so that Commission TIRCP allocations may be sought in the programming year close to the specific contract need and funding allocations are put to timely use.
  - D. Applicants are encouraged to submit a narrative explanation or supplement to the PPR to reflect the proposed contracting approach and describing the ability of the project to receive funds on alternative allocation schedules. If a project has a special cash flow consideration that would benefit from TIRCP funds being available at a particular time, please describe this in the application.
  - E. Finally, if a project is only requesting funds for a particular phase of the proposed project, such as a construction contract expected to be awarded in a specific year of the program, identify the prior phases and the funding associated with them.
14. Letters of support for project implementation, including letters from:
- A. Project partners essential to project implementation, such as host railroads or facility owners. If TIRCP funds are to be used at a later stage of project implementation (such as construction), and an agency is able to commit to delivering the project goals with no additional TIRCP funding (supplementing, if necessary, from non-TIRCP sources), letters of support may indicate overall support for the project as described in the application and willingness to engage in best efforts to achieve a formal agreement for the construction elements of the project that will still require a future stakeholder agreement. Commission allocation of awarded TIRCP funding for such future construction will be conditioned on such agreements being finalized and the project being implemented in a manner consistent with the original application.
  - B. A Metropolitan Planning Organization (MPO), indicating that the project is consistent with an adopted Sustainable Communities Strategy, or in non-MPO regions, a regional plan to reduce greenhouse gas emissions. (It is not necessary to establish project eligibility for an MPO to indicate its specific support for the project.)
  - C. Regional agency or agencies.
  - D. Members of the community, including representatives of impacted disadvantaged or low-income communities. Letters from community organizations stating their recognition of benefits from the project are encouraged.
  - E. Additional stakeholders relevant to the proposed project.
15. Description of project elements that are separable or scalable based on available funding, if applicable, while still maintaining independent utility. For example, if an application is for improving services on three routes, each route may be separately described and prioritized so that the highest-priority portion of the application could be funded if resources are not sufficient for full project funding. If some or all of the project is already programmed using state or federal funds, the application must clearly explain if and how the scope of the project has changed since the most recent state or federal programming action, including an explanation of any differences

in assumed federal funding level compared to the most recent Capital Investment Grant report or summary (if applicable). If the project is not scalable or separable, the applicant should provide background detailing why it is not practical for it to be phased or scaled.

Documentation of the basis for the costs, benefits, and schedules must be included in the project application and additional detail made available upon request. CalSTA will post basic project application information from all applications on its website prior to awarding funding. After projects are selected, CalSTA will post the status of all project applications to its website.

CalSTA encourages project applicants to carefully consider how to track the status and benefits of the proposed project, including having project budgets that allow for an appropriate level of before and after data collection and analysis (e.g., greenhouse gas reductions, diesel particulate matter reductions, increased transit service for disadvantaged community residents, etc.). This tracking could take the form of customer surveys made before and after the proposed project, specific data analysis before and after the project, or other efforts. Since this is an ongoing funding program of the state, developing lessons learned and good supporting data are critical to future program effectiveness.

## 9 Project Evaluation

Applications will receive an initial screening for completeness and eligibility. Incomplete or ineligible applications may not be evaluated.

### 9.1 Primary Evaluation Criteria

Projects will be selected through a competitive process. The primary evaluation will be based on how well a project meets the objectives of the program, as further expanded upon by the grant evaluation considerations in statute:

1. Reduce greenhouse gas (GHG) emissions. CARB has developed a quantification methodology for estimating greenhouse gas reductions that may occur as a result of project implementation (see Attachment 2). The inputs and assumptions behind these calculations must be thoroughly documented as part of the application. Applicants should present project elements that are scalable or separable in a manner that allows the greenhouse gas emission reductions of each element to be understood. Total cost per ton of carbon dioxide equivalents (CO<sub>2</sub>e) reduction and Transit and Intercity Capital Program funding per ton of CO<sub>2</sub>e reduction will be primary elements of the evaluation for project selection. Applicants must quantify greenhouse gas reductions (see Attachment 2) and submit reporting information in accordance with the CARB's Funding Guidelines (see Attachment 1), including reporting on benefits to disadvantaged communities, low-income communities, and/or low-income households. Highly rated projects will exhibit a low cost per ton of CO<sub>2</sub>e reduction and will have strong documentation of the ridership and passenger mile impacts of the project.
2. Increase ridership through expanded and improved rail and transit service (including connectivity to rail services through expanded and improved transit and/or feeder bus services). Expanding service and improved connectivity includes construction of new rail and transit infrastructure and facilities. Documentation of the assumptions and approach to estimating ridership changes is a critical component of evaluating greenhouse gas emission reductions. Highly rated projects will have significant ridership impacts relative to the project cost and well documented methodologies for establishing ridership forecasts. Projects must document the degree to which ridership growth expected over the life of the project is supported by housing policies that will support such growth, including evidence of compliance with state-required housing plans. If multiple operators benefit from or are impacted by a project, highly rated projects will document specific

ridership results specific to each operator, including any reductions impacting other operators. Recognizing that transit-supportive land use decisions are a key influencing factor of ridership, projects may capture additional ridership from entitled housing projects within a half mile of transit stations that are expected to be delivered within required project outcome reporting period, even if such delivery is following project completion.

3. Integrate the services of the state's various rail and transit operations, including integration with the high-speed rail system, and the associated integration of services between agencies to support network-wide connectivity. Improving integration will improve connectivity and the seamlessness of the travel experience for users by eliminating points of friction during a public transportation journey. Highly rated projects will identify and address through service design and/or capital project design the opportunities to integrate services across multiple systems or corridors, where possible.
4. Improve safety. Projects that include specific measures to address safety for users or non-users of the transit or rail service should specifically note such project elements and the funding related to them. Such improvements may include grade separations, improved crossing protection at railroad crossings, or elements in transit stations that reduce the likelihood of pedestrian fatalities and injuries, among other safety elements. Such safety elements may also include elements that increase the safety of disadvantaged and/or vulnerable populations, including safer circulation for the elderly, mobility impaired, very young, and the vision impaired. Highly rated projects will have significant project element related to safety and will not leave major safety considerations unaddressed.

## 9.2 Secondary Evaluation Criteria

Projects will also be evaluated based on the following criteria:

1. If/how much projects contribute to the implementation of sustainable communities strategies and the reduction of vehicle miles traveled and GHGs that may not be quantitatively captured in CARB's quantification methodology (discussed in Section 9.1.1).
  - A. Reducing vehicles miles traveled from automobiles and the number of automobile trips through growth in transit ridership.
  - B. Increasing the attractiveness of a transit-served area and/or coordinating with local governments to facilitate the location of additional employment and housing in the transit stop or station area (e.g., within ½-mile of the transit station or stop that will be affected by the project and the resulting low-carbon impact of such location efficiency on statewide GHG emissions relative to the status quo. This can be accomplished by using project funding to make station areas and neighborhoods walkable, bikeable, and well-integrated with existing or planned shared mobility and transit services. Evidence that will support this co-benefit will include:
    - Documentation showing the siting of projects with rail stations and major transit centers located within ½ mile of existing or planned future housing with densities that correlate with higher transit use and lower VMT per household.
    - Documentation showing alignment with state housing policies and goals that seek to increase access, reduce transportation costs, improve equity, and overcome the statewide housing crisis. Applicants can demonstrate alignment in one of two ways:
      - a. The project will serve a community within ½ mile of a transit station or stop that is characterized by/has one or more of the following:

- An adopted Nondiscretionary Local Approval Process for multifamily residential and mixed-use development.
- An adopted density bonus ordinance whose allowable density increase exceeds the requirements of State Density Bonus Law.
- Sites with capacity and zoning appropriate to accommodate and exceed the community's Regional Housing Needs Allocation for lower-income households by 150%.
- Dedicated resources to provide application guidance on streamlined permitting processes or by-right approval processes, which may include processes described in Government Code section 65913.4 (SB 35-Streamlined Ministerial Approval Process); Government Code section 65650 (AB 2162-Permanent Supportive Housing); or Government Code section 65662 (AB 101-Low Barrier Navigation Centers).
- A certified General Plan EIR, Specific Plan EIR, Master EIR, or other program-level EIR, with CEQA analysis that allows streamlined environmental approvals of multifamily residential or mixed-use development at the project level.
- An adopted ordinance or other policy that reduces parking requirements more than State Density Bonus Law (Government Code section 65915).
- An adopted policy or procedure for deferring, reducing, or waiving traffic impact fees or other impact fees, for multifamily residential or mixed-use development.
- Housing densities and residential land use percentages that meet the definition of a Transit Priority Project (PRC Section 21155).<sup>1</sup>
- An adopted Housing Overlay Zone which, when utilized, exceeds the jurisdictions share of the regional housing needs allocation.
- An inclusionary housing requirement that at least 20% of newly constructed residential units are affordable to residents with household incomes of 60% or less of AMI.
- An adopted financing tool that directly finances affordable housing in transit-oriented and high-opportunity areas, such as an Enhanced Infrastructure Financing District (EIFD) that directly finances affordable housing, or an adopted Revitalization Area of a Community Revitalization and Investment Authority.
- Strategies in place to avoiding the displacement of local residents (e.g., city policies or development-specific protections).

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<sup>1</sup> Transit Priority Project housing density and residential land use percentages are 20 dwelling units per acre and at least 50 percent residential use, based on total building square footage and, if the project contains between 26 percent and 50 percent nonresidential uses, a floor area ratio of not less than 0.75.

- b. The applicant engages in affordable, residential transit-oriented development on land owned or leased by the transit agency, or in conjunction with a private investor making such investments within ½ mile of one or more stations or stops served by the project. To be considered “affordable,” the development must have at least 20% of units reserved for residents with 60% or less AMI. To be “transit-oriented” the housing must be within ½ mile of a transit station or stop and have a density of at least 20 dwelling units per acre.
  - C. Expanding existing rail and public transit systems, to the extent not already captured in the project being applied for. Specific items that could be covered here include the expected strengthening of the existing system in a manner that will allow future investments in expansion to be considered, or the extent to which additional service may be operated due to the ridership growth achieved throughout the system due to the project, even if the specific location of the needed service increase is not yet identified. The contribution of the project to the acceleration of later phases of rail and transit projects in the region or service area may also be included in this category
  - D. Enhancing the connectivity, integration, and coordination of the state’s various transit systems, including, but not limited to, regional and local transit systems and the high-speed rail system. This category should be utilized in particular, if there are not specific capital investments or planning efforts called out in the project budget that invest in integration, but these benefits are still a co-benefit of the project. This category can also address integration across other modes of transportation, such as connections at/to: airports, bus terminals, ferry terminals, rail stations, active transportation infrastructure and networks, and other shared mobility options (e.g. bikeshare, scootershare, carshare) that help transit users overcome potential first- and last-mile barriers to transit use.
  - E. Investing in clean vehicle technology, including efforts that will accelerate the adoption of such technology or provide valuable research or demonstration of such technology. When buses will be funded as a part of this project, special consideration will be given to zero emission bus technology.
  - F. Promoting active transportation, by investing in infrastructure, amenities, education and outreach, etc. that will increase the proportion of trips accomplished by biking and walking. This includes efforts and investments to increase the safety and mobility of bicyclists and pedestrians. Examples of how this can be accomplished includes (but is not limited to) the following:
    - Bike parking/storage at transit stations and stops
    - Bike lanes and sidewalks to make station areas accessible via active transportation
    - Traffic calming elements at transit stations to make walking and biking a safer and more pleasant experience
  - G. Improving public health, with particular emphasis on elements benefiting the most impacted and disadvantaged communities, low-income communities, and/or low-income households. This category should include any air quality impacts of the project not included in the reduction of greenhouse gas emissions, including health benefits from improved regional air quality resulting from the project.
2. Benefit to priority populations. The applicant must evaluate the criteria detailed by CARB (see Attachment 1) to determine whether the project meets criteria for providing direct, meaningful, and assured benefits to a disadvantaged community, low-income community, and/or low-income households and address a community need pursuant the CARB’s Funding Guidelines, and specifically document the manner in which all or part of the project does so. Projects that will be used by residents of disadvantaged communities, low-income communities, and/or low-

income households should document the nature of such use and its degree of relevance to disadvantaged community, low-income community, and/or low-income household residents in the service areas of the operators benefiting from the project.

- A. Project applicants should be explicit on the deliberate steps they take to achieve a meaningful level of participation from disadvantaged communities, low-income communities, and/or low-income households in the planning and design of projects that are intended to address community identified priorities and needs.
- B. As detailed in the CARB Funding Guidelines, Attachment 1, benefits to priority populations can also be demonstrated through community workforce agreements or labor agreements with unions, community-based organizations (CBOs), or other partners. The following are examples from around California that provide more background and context for applicants:
  - For transit infrastructure, Community Workforce Agreements (CWAs) are commonly used in California cities where local elected officials see them as a mechanism to maximize the economic benefits of development projects and create jobs for local residents.
  - For transit system expansion, the state's larger transit agencies (e.g., Los Angeles County Metro, BART, SFMTA, and AC Transit) regularly establish Project Labor Agreements (PLAs) for large construction projects.
  - CWAs and PLAs set standards for wages and expand training opportunities for workers, because they include use of the state-certified apprenticeship system and contributions to apprenticeship training trust funds for every hour worked. Some agencies that require PLAs for major subsidized housing developments and transit system expansion projects include targets for local hiring (turning the PLA into a Community Workforce Agreement, or CWA), set goals for apprenticeship utilization, and codify goals for participation of disadvantaged workers to expand access to women and other workers underrepresented in the construction trades.
3. The project priorities developed through the collaboration of two or more rail operators and any memoranda of understanding between state agencies (including intercity rail joint powers authorities) and local or regional rail operators.
4. Geographic equity, with particular attention by applicants in identifying efforts to address underserved communities within an applicant's region or service area. The Transportation Agency will separately apply geographic equity considerations at a statewide level.
5. Consistency with a plan or strategy contained in an adopted Sustainable Communities Strategy, as confirmed by the Metropolitan Planning Organization (MPO), or, in non-MPO regions, a regional plan that includes policies and programs to reduce greenhouse gas emissions. Especially in the case of large capital projects, inclusion in an applicable financially constrained SCS will be noted as evidence of regional funding commitment and enhanced likelihood of successful project delivery. Consistency with the 2018 State Rail Plan service and connectivity goals, if applicable. Projects that are part of a regional network and are considered regionally-significant should be noted as such. All referenced documents should be included as an attachment.
6. Benefits to freight movement, consistent with the Sustainable Freight Action Plan and the goals of the California Freight Mobility Plan, if applicable. In shared passenger/freight rail corridors, use this category to document and discuss GHG reductions from a greater volume of goods movement by rail if applicable.
7. The extent to which a project has supplemental funding committed to it from non-state sources, with an emphasis on projects that leverage funding from private, federal, local or regional sources that are discretionary.



8. For expansions of service, the presence and quality of a financial plan that analyzes the financial viability of the proposed service, including the availability of any required operating financial support.

Highly rated projects will address and score highly on multiple secondary evaluation criteria, with clear documentation of claimed benefits. Clear documentation will include data related to evaluating the claimed benefits to the extent available. Agencies are encouraged to document in the secondary evaluation criteria categories of verifiable greenhouse gas reducing activities associated with a project that are not specifically captured in the primary evaluation categories and in the quantification tool provided by CARB.

### 9.3 Benefit to Priority Populations

It is a goal of this program to maximize benefits to disadvantaged communities and low-income communities and households. Pursuant to the requirements of SB 535, as amended by AB 1550, the overall California Climate Investments Program funded with Cap-and-Trade auction proceeds must result in: (1) a minimum of 25% of the available moneys in the GGRF to projects located within, and benefiting individuals living in, disadvantaged communities, (2) an additional minimum of 5% to projects that benefit low-income households or to projects located within, and benefiting individuals living in, low-income communities located anywhere in the state, and (3) an additional minimum of 5% either to projects that benefit low-income households that are outside of, but within a 1/2 mile of, disadvantaged communities, or to projects located within the boundaries of, and benefiting individuals living in, low-income communities that are outside of, but within a 1/2 mile of, disadvantaged communities.

Information on California Climate Investments to Benefit Disadvantaged Communities with background on SB 535, AB 1550 and the CalEPA California Communities Environmental Health Screening Tool 3.0 (CalEnviroScreen), can be found at: <https://calepa.ca.gov/EnvJustice/GHGInvest/>.

In addition to contributing benefits towards meeting or exceeding the AB 1550 investment minimums, the TIRCP has a statutory investment target for benefits to disadvantaged communities required by SB 862 (a 25% minimum). This applies across the entire program regardless of funding source. Agencies are responsible for documenting compliance with these requirements.

Investments that are eligible to be counted toward AB 1550 as projects within and benefiting disadvantaged communities will also count toward meeting the SB 862 requirements. Refer to criteria in Funding Guidelines (further referenced below) for how to demonstrate benefit.

SB 862 requires CARB, in consultation with CalEPA, to develop funding guidelines for all agencies that are appropriated monies from the GGRF. These guidelines must include a component for how administering agencies should maximize benefits for disadvantaged communities. The CARB funding guidelines are referenced in Attachment 1.

In reviewing efforts to maximize benefits to disadvantaged communities, low-income communities, and/or low-income households, CalSTA may request review of applications by an advisory panel representing such stakeholders during the evaluation of applications. The primary goal of this panel will be to review proposed efforts (both pre-application and those proposed for the post-award period) and to either confirm that the applicant efforts will help align the proposed project with stakeholder and community needs, or to recommend efforts that would allow such needs to be addressed (see items 9 and 10 in section 8 describing how such efforts may be requested and funded as part of project selection).

## 10 Project Selection Process

CalSTA will evaluate applications for compliance with the objectives of the program and rate them based on the aforementioned primary and secondary criteria, assigning ratings such as “High,” “Medium- High,” “Medium,” “Medium-Low”, and “Low” to the specific alignment of the project to each of the selection criteria, and also considering the cost per ton of CO<sub>2</sub>e reduction and the risks of successful project delivery. Because of the wide variety in the type and size of projects that can be funded from this program, CalSTA may group projects for the purpose of comparing the ratings of like applications or for purposes of comparing projects within a region. In addition, projects with clear phases or scalability may be evaluated for the portion of the project that would receive the highest rating if partial funding for the project is under consideration. The highest rated applications that meet the program objectives will be selected for programming, except that CalSTA may make adjustments to meet the AB 1550 goals of this program and to provide for geographic equity.

In addition to being evaluated on the aforementioned criteria and benefit to priority populations, including addressing community needs, each application will also be assessed to determine the risk associated with the project's capacity to generate, as planned, transportation and greenhouse gas emission reduction benefits (including potential sensitivity to different project benefit outcomes), and to be delivered within budget, on time, and as designed.

Additional factors to be considered include:

1. The overall need and benefit of the project in the context of its contribution to advancing later phases of the project, other aspects of a region's long-range plans or towards improving the state's interregional transportation network.
2. Project readiness and reasonableness of the schedule for project implementation, including the following:
  - A. Progress towards achieving environmental protection requirements.
  - B. The comprehensiveness and sufficiency of agreements with key partners (particularly infrastructure owning railroads) that will be involved in implementing the project.
  - C. For projects that are not fully funded through construction due to funding contingencies (such as federal or local measure funds), the timing and amount of the project's future non-committed investments.
3. The leveraging and coordination of funding from other greenhouse gas reduction programs such as Caltrans' Low Carbon Transit Operations Program, the SGC's Affordable Housing and Sustainable Communities Program or the CARB's Low Carbon Transportation funding program.
4. The leveraging and coordination of funding from other private, federal, state (including SB1 funding programs like State Rail Assistance), local or regional sources, with consideration of those sources that are discretionary compared to those that are non- discretionary.
5. The alignment to the State Rail Plan, where relevant, which articulates a vision and specific service and delivery goals for coordinating schedules and physical infrastructure to deliver an integrated network by leveraging available resources.
6. The coordination of project development and delivery efforts in a regional and megaregional context to support an integrated, statewide rail and transit network. This should be articulated in the context of network integration and those agencies applying specifically for network integration funds or projects will be evaluated on their ability to describe the process for delivering an integrated project and its associated benefits.

Highly rated projects will clearly communicate a compelling need for the project in terms of specific benefits for the public and will demonstrate a high degree of project readiness with few risks related to proceeding into construction and operating services that achieve the proposed benefits once the project is completed. Most highly rated projects will have an approved environmental document. Those projects

that are requesting TIRCP funds to complete the project's funding package (when combined with already committed other funds) will clearly communicate the acceleration in project delivery possible due to receipt of TIRCP funding even if the project may ultimately have been advanced with future local and state resources at a later date. Highly rated projects will quantify the benefits of such acceleration as part of the project application.

CalSTA will collaborate with other state entities when evaluating project proposals, including but not limited to: CARB, CalEPA, the California High-Speed Rail Authority, Caltrans, the Commission, the Department of Housing and Community Development, and the Strategic Growth Council .

CalSTA, or Caltrans acting on CalSTA's behalf, may request additional documentation to support statements or data provided in the applications. However, applicants should endeavor to be as clear as possible in their applications and not assume that opportunity will be provided to clarify or better support a submitted application. Supporting documentation should include spreadsheets, reports and methodology descriptions (with sources noted) when available.

Applications 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 (see section 9) and other additional factors (above in this section) described in the guidelines by multi-agency technical panels.
4. Consideration of technical panel ratings, geographic equity and degree of disadvantaged and/or low-income 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, low-income communities, and/or low-income households.

## 11 Programming

CalSTA will publish a 5-year Program of Projects shortly after the Cycle 4 award announcement as established in the Call for Projects and will present the program to the Commission shortly thereafter (Spring 2020). When CalSTA releases the program, it will include a narrative for each approved project that describes that project's rating for primary and secondary criteria as well as special considerations to achieve disadvantaged and/or low-income community benefit and geographic equity. Subsequent 5-year programs are expected to be approved by CalSTA biennially. CalSTA may call for additional applications, or adjust the existing Program of Projects between cycles, as warranted based on the level of auction proceeds.

CalSTA will develop and regularly update the Program Allocation Plan to guide the allocation of funds for the current program. The Program of Projects for each fiscal year will include the amount to be funded from the TIRCP, and the estimated total cost of each project. The yearly allocation amounts will be based on the needs of separable project components and phases or based on the cash flow needs for projects that need multiple years to complete.

CalSTA will program and the Commission will allocate funding to projects in whole thousands of dollars and will include a project or project component only if it is fully funded from a combination of TIRCP and other committed funding. Funds will be considered as committed when they are programmed by the CalSTA or

when the agency or other funding partner with discretionary authority over the funds has made its commitment to the project by ordinance, resolution or appropriate contract vehicle, or in the case of the Federal Transit Administration, recommendation of the project for funding in the *Annual Report on Funding Recommendations* for the Capital Investment Program. For federal formula funds, including Surface Transportation Program, Congestion Mitigation and Air Quality Improvement Program, and federal formula transit funds, the funding commitment may be by Federal approval of the Federal Statewide Transportation Improvement Program. For projects seeking federal discretionary funds such as New Starts, Core Capacity, or Small Starts, the commitment may take the form of federal acceptance into Accelerated Project Delivery and Development (in the case of Small Starts) with the expectation of federal approval of an Expedited Grant Agreement, or federal approval of a project to enter Engineering (in the case of New Starts or Core Capacity) with the expectation of federal approval of a Full Funding Grant Agreement, as long as all funding, excluding TIRCP funding, is committed to the project. A project that is programmed prior to receiving federal approval for construction may be subject to deletion from the program, if federal funds are not received, federal funding is reduced or the scope of the federal commitment changes, unless other committed funding sources are identified that replace federal funding not obtained. Applicants considering a request for an award based on a commitment contingent on federal or local funds not yet awarded to the project, as described above, should anticipate the call for 2022 TIRCP projects by October 2021.

For local funding, the funding commitment may be demonstrated by inclusion of the project in a funding package, such as a sales tax measure, to be submitted to voters during this program cycle and with sufficient funding specified for the project to achieve full funding. The applicant shall provide evidence with the application that the project is included in a future funding package with funds sufficient to meet the local funding commitment when combined with other already available funds. A project that is programmed prior to receiving voter approval for project funding must succeed in receiving the voter approval, or the project may be subject to deletion from the program.

For projects with other funding partners that have entered into a contract vehicle committing their funding, access to the funding must occur before TIRCP funding will be approved for allocation to the project.

CalSTA may make an exception to its policy to only program a project if it is fully funded, if the project may be funded from a combination of TIRCP and other committed funding to allow a project to compete for funding from other greenhouse gas reduction programs (such as Caltrans' Low Carbon Transit Operations Program, the SGC's Affordable Housing and Sustainable Communities Program or the CARB's Low Carbon Transportation funding program) or from the Commission's Active Transportation or State Transportation Improvement Programs. A project intending to compete for funding in one of the aforementioned programs should indicate, if applicable, the separable elements to be funded from that source. A project that is programmed prior to receiving a commitment of funding from one of the aforementioned programs must receive the funding commitment no later than in the fiscal year in which the project is requesting a TIRCP allocation. If the project does not receive funding from that program and the project does not have separable elements, the project may be subject to deletion from the program.

If a project does not receive their anticipated federal, local or other funding commitments, CalSTA may delete the project from the program and consider selection of projects or components of projects that were highly rated but not selected due to lack of sufficient funds from previous rounds of TIRCP applications as long as the project is still viable and deliverable consistent with Cycle 4 programming and demonstrates acceptable levels of benefits with the most current quantification methodologies.

If, prior to seeking a Commission allocation, an award recipient does not make adequate progress to implement an awarded project in a timely manner or incurs delays through the action or inaction of the recipient, subrecipient or 3rd party associates, the project may be deleted from the TIRCP program. An applicant may resubmit a deleted project for consideration in future funding cycle.

## 12 Allocations and Project Delivery

When an agency is ready to implement a project or project component, the agency will submit an allocation request through Caltrans' Division of Rail and Mass Transportation (DRMT). Allocation requests are expected to adhere to the preparation schedule established by Caltrans Office of California Transportation Commission Liaison (OCTCL) along with any additional time required for CalSTA's review and approval of a recommendation to the Commission for an allocation of funds. For planning by an award recipient, the time required from the submittal and approval of an allocation request can range from 60 to 90 days prior to date of a scheduled Commission meeting.

Caltrans will review the request and determine whether to recommend the request to the Commission for action. The Commission will consider the allocation of funds for a project only when it receives an allocation request with a recommendation from Caltrans and consistent with the TIRCP Program Allocation Plan. The recommendation will include a determination of project readiness, completion of funded phases that require completion prior to proceeding into the next phase, the availability of appropriated funding, and the availability of all identified and committed funding needed to support the specific allocation request. When Caltrans develops the project's construction allocation recommendation(s), the Commission expects Caltrans to certify the adequacy of design, the project's plans specifications and estimate are complete, right-of-way clearances are achieved, and all necessary permits and agreements (including railroad construction and maintenance) are executed.

In compliance with Section 21150 of the PRC, the Commission will not allocate funds for design, right-of-way, or construction prior to documentation of environmental clearance under the California Environmental Quality Act and all needed environmental documents are provided for a Commission E-Resolution. As a matter of policy, the Commission will not allocate funds for design, right-of-way, or construction of a federally funded project prior to documentation of environmental clearance under the National Environmental Policy Act (NEPA). Exceptions to this policy may be made in instances where federal law allows for the acquisition of right-of-way prior to completion of NEPA review. If requested by the Commission, Caltrans will assist Commission staff in the preparation of agenda items presenting environmental documents to the Commission.

Projects that are awarded funding for network integration are to be allocated under the construction phase, unless such efforts are part of a task within an earlier phase of work. If allocated as a separable work effort, at the time of allocation, an agency must either environmentally clear the network integration work, usually with a Notice of Exemption, or provide a written statement certifying that the network integration project is exempt.

CalSTA will request the Commission approve the allocation, if the funds are available as determined by CalSTA and Caltrans, and the allocation is necessary to implement the project as included in the adopted TIRCP Program Allocation Plan and Program of Projects. If there are insufficient program funds to approve an allocation, CalSTA may delay the recommendation to allocate funds to a project until a future fiscal year without requiring a Commission action. Agencies should not request Commission allocations unless prepared to award contracts related to the allocation within six months. Funds available following the deletion of a project may be allocated to a programmed project advanced from a future fiscal year or to a project amended into the program.

Once an applicant has been allocated TIRCP funding, funds are subject to timely use of awarded funds and awardees are expected to execute a contract within six months of the allocation. CalSTA may grant an extension if it finds that an unforeseen or extraordinary circumstance has occurred that justifies the extension.

Details and instructions for the allocation, transfer and liquidation of funds allocated to implementing agencies are included in the Procedures for Administering Local Grant Projects in the State Transportation Improvement Program:

<https://dot.ca.gov/programs/local-assistance/forms/local-assistance-procedures-manual-forms>

The TIRCP is a reimbursement program for costs incurred. Costs incurred prior to Commission allocation and, for federally funded projects, federal project approval (i.e. Authorization to Proceed) are not eligible for reimbursement. Moreover, contracts against which reimbursements from TIRCP will be sought may not be awarded prior to funding allocation without specific pre-approval by CalSTA and approval of a Letter of No Prejudice by the Commission. For the procurement of rolling stock and buses, the exercising of an option or the certification of funds for TIRCP funded contract elements after Commission action may be considered to meet the milestone for contract award, provided that the agency is under no contractual obligation to pay any funds or penalty if the option is not exercised or the funds not certified. Confirmation of this approach should be sought prior to seeking an allocation of funds.

Caltrans will execute all appropriate contractual agreements with the implementing agency. These agreements may include project specific conditions required by CalSTA's award announcement and will be based on the awarded scope of work, schedule for completion and expected outcome of the project.

After the Commission allocation, any costs incurred for eligible work will not be reimbursed until the appropriate agreements (Master Agreement/Project Supplement Agreement) with the local agency have been executed and must remain in effect over the time required to complete capital improvements, implement services and fulfill the reporting requirements of benefits and outcomes associated with the award.

Prior to the completion of project design, an agency may propose to CalSTA modifications to the proposed project in order to achieve the same or greater level of benefits or reduced costs. Funds allocated for project development or right-of-way costs must be expended by the end of the fiscal year of allocation plus two additional fiscal years, unless a longer time-frame is specifically authorized by CalSTA tied to contracting requirements. Funds allocated for construction phase contracts, including rolling stock procurement, will have an expenditure timeline determined by the project schedule. Following contract acceptance, the implementing agency has six months to make the final payment to the contractor, prepare a final report of expenditures and submit the final invoice to Caltrans for reimbursement.

### **12.1 Letter of No Prejudice**

An agency may apply for a Letter of No Prejudice (LONP) for a project or for any component of a project included in the approved Program of Projects. Statutory authority is provided in Section 75225 of the PRC as added by SB 9. The Commission as authorized by statute adopted guidelines for approval of LONPs for specific programs, including the Transit and Intercity Rail Capital Program. All LONP requests must follow the Commission's currently adopted LONP guidelines. Any request for an LONP, will submitted through Caltrans for presentation to the Commission for approval.

If an LONP is approved by the Commission, it allows the implementing agency to advance a project by expending its own funds (incur reimbursable expenses) for any component of the project that is the subject of the LONP prior to allocation. The amount will be reimbursed if all the following conditions are met:

1. The project or project component for which the letter of no prejudice was requested has commenced and the expenditures have been incurred.
2. The expenditures are eligible for reimbursement in accordance with applicable laws and procedures. If expenditures made by the lead applicant agency are determined to be ineligible, the state has no obligation to reimburse those expenditures.
3. The agency complies with all legal requirements for the project, including the requirements of the California Environmental Quality Act (Division 13 (commencing with Section 21000)).
4. There are moneys in the GGRF or from SB 1 revenues designated for the program that are sufficient to make the reimbursement payment.



## 12.2 Multiyear Funding Agreement

An agency may apply to CalSTA for a multiyear funding agreement. Statutory authority is provided in Section 75224 (d) of the PRC. Any such agreements shall be implemented in cooperation with the Commission. If approved by CalSTA, the multiyear funding agreement would operate similar to a federal Full Funding Grant Agreement, wherein an agency may receive an allocation and implement a project at risk, with receipt of future state revenue dependent on legislative appropriation and/or receipt of program SB 1 revenue or Cap-and-Trade auction proceeds. The state would not be responsible for any borrowing costs an agency may incur, or other costs, allocated with the timeline of state revenue availability. Pursuant to Section 75224, the multiyear funding agreement would be for an amount of program money and for any duration, as determined jointly by the CalSTA and the applicant. CalSTA may agree to a duration that exceeds the five-year programming cycle, if deemed helpful in completing large transformative capital projects. Other requirements for the program will be included in the multiyear funding agreement as determined by CalSTA in cooperation with the applicant and the Commission.

## 12.3 Project Delivery Deadline Extensions

CalSTA may grant a deadline extension if it finds that an unforeseen or extraordinary circumstance has occurred that justifies the extension. The extension will not exceed the period of delay directly attributable to the extraordinary circumstance.

There are separate deadlines, for award of a contract, for expenditures for project development or right-of-way, and for project completion, and each project component has its own deadlines. CalSTA may grant the extension of a deadline for award of a contract, for expenditures for project development or right-of-way, for project completion, and for project reimbursement.

All requests for project delivery deadline extensions should be submitted by the agency responsible for project delivery to Caltrans at least 60 days prior to the specific deadline for which the particular extension is requested (e.g., 60 days prior to June 30 to request the extension of allocation deadlines). The extension request should describe the specific circumstance that justifies the extension and identify the delay directly attributable to that circumstance. Caltrans will review extension requests and forward them to CalSTA for approval.

## 13 Project Reporting

As a condition of the project selection and allocation, the implementing agency must submit to Caltrans quarterly reports on the activities and progress made toward implementation of the project and a final delivery report. The purpose of the reports is to ensure that the project achieves the goals of the program, is executed in a timely fashion, and is within the scope and budget identified when the decision was made to fund the project.

Recordkeeping and reporting requirements will apply through the life of the project. All recordkeeping and reports must be consistent with the reporting requirement, quantification methodologies and records retention periods developed by CARB (see Attachments 1, 2 and 3). At a minimum, agencies must report on all projects selected for funding, progress on each funded project, and the benefits (GHG and co-benefits) achieved. Implementing agencies should note that additional reporting may be required for some projects, referred to as Project Outcome Reporting, or be modified based on the evolving needs of the program. For projects benefiting disadvantaged communities, low-income communities, and/or low-income households, reports must identify and include metrics to demonstrate the benefits being achieved and how community needs are being met, consistent with CARB's Funding Guidelines. Some reported project information will be publicly available on the CARB website, including the amount of funding that is being spent on projects that benefit disadvantaged communities, low-income communities, and/or low-income households.

Consistent with CARB's Funding Guidelines, beginning with this round of funding, local agencies will now be required to report on job co-benefits, in addition to all other reporting requirements. Job co-benefits refer to California jobs supported, not created, by California Climate Investments. Jobs supported by California Climate Investments include direct, indirect, and induced employment.

At the time of application, applicants are required to submit a job co-benefit modeling tool, which is based upon a co-benefit assessment methodology developed by CARB. Once an awarded project has been implemented, funding recipients will also be required to report actual (not modeled) jobs data via the semi-annual reporting process.

Within one year of the project becoming operable, the implementing agency must provide a final delivery report to Caltrans which includes:

1. The scope of the completed project as compared to the programmed project.
2. Performance outcomes derived from the project as compared to those described in the project application. This should include before and after measurements and estimates (ridership/service levels, greenhouse gas reductions included updated estimates the greenhouse gas reductions over the life of the project, benefit to disadvantaged communities, low-income communities, and/or low-income households, project co-benefits, etc.), and an explanation of the methodology used to quantify the benefits.
3. Before and after photos documenting the project.
4. The final costs as compared to the approved project budget by component and fund type, and an estimate of the TIRCP funds spent to benefit disadvantaged communities, low-income communities, and/or low-income households.
5. Its duration as compared to the project schedule in the project application.

For all projects other than components that fund limited-term operations of new and expanded transit service, annual reporting on outcomes will continue for 36 months after becoming operational (i.e., vehicle or equipment is operational, or construction is complete and transit service is operational). The metrics to be reported vary by project type as shown in the table below.

<b>Capital Improvements that Result in New or Expanded Transit Service or Increase Mode Share on Existing Transit Service</b>		
<b>Metric</b>	<b>Unit</b>	<b>Method</b>
Tracking dates of data submission	mm/dd/yyyy	n/a
Days of operation per year	Days/year	Evaluation of service schedule
Average daily ridership	Unlinked trips/day	Ridership survey (conducted by city, county, district/authority, metropolitan planning organization, non-profit, or academia), ticket and transit pass sales, automatic passenger counter, driver counts, etc.
<b>New Vehicle(s) for Existing Transit Service</b>		
<b>Metric</b>	<b>Unit</b>	<b>Method</b>
Tracking dates of data submission	mm/dd/yyyy	n/a
Fuel/energy consumption or vehicle miles traveled	Gallons/year by fuel type, kWh/year, scf/year, or vehicle miles traveled/year	Evaluation of fueling, utility, mileage, or other operating records
Range in fuel/energy consumption or annual vehicle miles traveled		



Upon request from the implementing agency, Caltrans may consider requests to delay reporting on before and after or other performance outcome data until two years after project operation if similar data is requested by the Federal Transit Administration or if the agency deems such delay would improve the reliability of the report.

For the purpose of this section, a project becomes operable when the construction contract is accepted or acquired equipment is received.

The State of California has the right to review project documents and conduct audits during project implementation and over the life of the project. Caltrans or another State agency may audit a sample of TIRCP projects to evaluate the performance of the project, determine whether project costs incurred and reimbursed are in compliance with the executed project agreement or approved amendments thereof; state and federal laws and regulations; contract provisions; and program guidelines, and whether project deliverables (outputs) and outcomes are consistent with the project scope, schedule, and benefits described in the executed project agreement or approved amendments thereof. A report on the projects audited must be submitted by the auditing agency to CalSTA.

## 14 Project Administration

Caltrans will administer the TIRCP consistent with these guidelines and all applicable Commission and Caltrans policies and procedures for the administration of similar grant programs.

Projects awarded funding from TIRCP are expected to document and publicize the Transit and Intercity Rail Capital Program in proper context when developing press releases and board documents, or in hosting public events such as project groundbreakings. References should be made to TIRCP, the California State Transportation Agency as the program sponsor, and the Greenhouse Gas Reduction Fund and SB 1 program as fund sources, as applicable, in order to ensure transparency regarding the funding of the project. Additional details will be provided to program award recipients.

Agencies must encumber and expend monies consistent with State law and ensure that GGRF monies are utilized consistent with the expenditure record submitted by Caltrans and required by SB 1018. A determination that use of GGRF monies is not consistent with the expenditure record and does not further the purposes of AB 32 may occur during legal proceedings or during an audit or program review conducted by the Bureau of State Audits, Department of Finance, a third-party auditor, or the CARB. Depending on the outcome of those proceedings or review, agencies may be required to return monies to the state if expenditures are not consistent with the statutory requirements (such as not furthering the purposes of AB 32).

Audits and on-site monitoring can take place at any time at the discretion of CalSTA without prior warning given to the agency. CalSTA has the right to audit the project records, including technical and financial data of the Project Applicant, the Implementing Agency, and any consultant or sub-consultants at any time after award, during the course of the project and for three years from the date of the final closeout of the project, therefore all project records shall be maintained and made available at the time of request.

The state may terminate the grant for any reason at any time if it learns of or otherwise discovers that there are allegations supported by reasonable evidence that a violation of any state or federal law or policy by the grantee which affects performance of this or any other grant agreement or contract entered into with the State. If a grant is terminated, the agency may be required to fully or partially repay funds from the TIRCP.

## **Attachment 1: CCI Funding Guidelines for Administering Agencies**

### **Investments to Benefit Disadvantaged Communities and Low-Income Communities and Households**

The California Air Resources Board (CARB) released the "Funding Guidelines for Agencies Administering California Climate Investments" (Funding Guidelines) on August 30, 2018.

The 2018 Funding Guidelines provide flexibility in implementing a diverse set of investments while maintaining transparency of outcomes and ensuring meaningful community benefits from these investments. These guidelines align with the Legislature's priorities found in [AB 398](#) and Fiscal Year (FY) 2017-18 appropriations. These guidelines reflect the increasingly important role of California Climate Investments in facilitating the reduction of greenhouse gases while also reducing air pollution, helping communities adapt to the impacts of climate change, and providing meaningful benefits to disadvantaged communities, low-income communities, and low-income households (also referred to as "[priority populations](#)"), among other statutory requirements.

Additional information can be found at the following CARB websites:

<https://ww2.arb.ca.gov/resources/documents/cci-funding-guidelines-administering-agencies>

## **Attachment 2: Quantification Methodology**

### **CCI Quantification, Benefits, and Reporting Materials**

Administering agencies must use the Funding Guidelines with the resources provided by CARB to develop effective programs and demonstrate compliance with program requirements.

Resources include Quantification Methodologies and Calculator Tools for estimating greenhouse gas (GHG) emission reductions and co-benefits; Benefit Criteria Tables for determining benefits to priority populations; and Reporting Templates for reporting outcomes.

Note: Quantification methods have been developed specifically for each GGRF programs and are not intended for use in other programs.

Additional information can be found at the following CARB website:

<https://ww2.arb.ca.gov/resources/documents/ci-quantification-benefits-and-reporting-materials>

### **Attachment 3: Co-benefit Assessment Methodology**

The California Air Resources Board is updating the Co-benefit assessment methodology. See the following website for the final methodology.

<https://ww2.arb.ca.gov/resources/documents/ci-methodologies>



**Los Angeles – San Diego – San Luis Obispo**  
**RAIL CORRIDOR AGENCY**

**Upcoming Agenda Items**  
***Supplemental Information***



**Los Angeles – San Diego – San Luis Obispo  
Rail Corridor Agency Board of Directors  
Upcoming Agenda Items  
Board of Directors Meeting  
11.18.2019**

- Technical Advisory Committee
- Annual Business Plan and Budget Assumptions for Fiscal Year 2020-21 and Fiscal Year 2021-22
- Agreement for Pacific Surfliner Creative Services
- 2020 Los Angeles - San Diego – San Luis Obispo Rail Corridor Agency Legislative Program
- Agreement for Pacific Surfliner Videography and Photography Service
- Amendment to Agreement for Field Marketing Services
- Update on the Transit and Intercity Rail Capital Program Funded Projects and Layover Facility Expansions
- End of the Year Report
- Overview of Field Marketing Initiatives
- Upcoming Transit and Intercity Rail Capital Program Projects
- On-Board WiFi Update



# On-Board WiFi Update

LOSSAN Technical Advisory Committee  
November 7, 2019

# Background

- On-board WiFi was installed on the Pacific Surfliner in 2011 by Amtrak as part of a national initiative
- Since 2011, Amtrak has provided WiFi program management and support services, and contracted with Nomad Digital to provide on-board WiFi solutions
- WiFi funded through on-board passenger technology line item, approx. \$346,753/year
- WiFi landing page funded through separate agreement with Volanno, approx. \$10,500/year
- Amtrak no longer plans to provide WiFi service for state-supported trains in California after Sept. 30, 2020





# Current WiFi Challenges

- Relies on commercial cell signals and is often slow, unreliable
- Does not support streaming or large file downloads
- Some Superliner cars are not WiFi equipped, resulting in inconsistent service
- Amtrak's most recent electronic customer satisfaction index shows top drivers of dissatisfaction are all unital issues related to the reliability of on-board Wi-Fi, with ability to stay connected being number one
- Current system is now at end-of-life, in need of replacement/upgrade



# WiFi Service Alternatives

- In 2018, Capitol Corridor Joint Powers Authority (CCJPA) assumed management of WiFi service from Amtrak; now contracts directly with Nomad Digital to provide WiFi solution, and Xentrans, Inc. to manage program
  - Utilizes the California Department of Transportation contracts for reduced cellular data rates
  - Option for Pacific Surfliner to follow similar model
- Opportunity to provide more proactive management of WiFi service
  - Improved performance monitoring
  - Better reporting, analytics
  - Faster troubleshooting



# Next-Generation WiFi

- CCJPA led procurement to upgrade WiFi service on Capitol Corridor and San Joaquins routes in partnership with six local transit agencies
  - Includes replacement of on-board equipment, new back office, and ongoing operations and maintenance
  - Will enhance WiFi speed, reliability and accommodate future on-board entertainment platforms
- Contract awarded to Nomad Digital in June 2019
- Upgrade project expected to be complete in late 2020 for equipment operating on the Capitol Corridor and San Joaquins routes

# Other Alternatives

- Partner with COASTER and Metrolink to offer a consistent WiFi solution for Southern California passenger rail services
- Explore feasibility of wayside WiFi equipment to avoid relying on cellular signals



# Next Steps

- Evaluate options for managing and providing on-board WiFi service post September 2020, when Amtrak support will end, and return to the Board of Directors with a recommendation in Spring 2020
- Monitor performance of Capitol Corridor and San Joaquins WiFi upgrade project
- Continue to coordinate with COASTER and Metrolink on future opportunities to provide joint on-board WiFi service



**Los Angeles – San Diego – San Luis Obispo**  
**RAIL CORRIDOR AGENCY**

**2020 Los Angeles - San Diego - San Luis Obispo  
Rail Corridor Agency Legislative Program**

***Supplemental Information***



## **201920 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program**

### **TOP PRIORITIES FOR 201920:**

- **Maximize the share of long-term, sustainable funding sources to support passenger rail operations and capital projects in the Los Angeles – San Diego – San Luis Obispo (LOSSAN) rail corridor, including funds made available by the federal rail title and ensuring the continued eligibility for the LOSSAN Rail Corridor Agency (Agency) to compete for state funding, such as funding provided by SB 1 (Chapter 5, Statutes of 2017) and the cap-and-trade program.**
- **Support efforts to further enhance connectivity of regional and intercity rail and local transit services within the LOSSAN rail corridor.**
- **Continue to study and advance infrastructure and service improvement projects and programs.**

### **I. SECURE SUSTAINABLE FUNDING**

- a) Support efforts to pursue and maximize the LOSSAN Agency's share of stable, recurring sources of operating and capital funding to support intercity rail operations, equipment and safety needs, and LOSSAN Agency Priority Projects.
- b) Support member agency grant funding requests consistent with the LOSSAN Agency's Legislative Program and annual Business Plan and permit the LOSSAN Chairman or the Managing Director to sign letters of support.
- c) Support the protection of existing revenues and the generation of new revenue sources; maximize flexibility in use of federal and state funds, including emerging funding programs. Advocate for intercity rail as an eligible recipient of any new revenue sources.
- d) Support efforts to lower the current two-thirds voter requirement for special purpose taxes that provide for transportation and quality of life improvements.
- e) Support efforts to apply for the use of SB 1 and cap-and-trade funding for LOSSAN Agency priority projects, advocating for intercity rail as an eligible recipient, flexibility in revenue use and a streamlined allocation process.
- f) Secure emergency preparedness funds through any grant program that funds safety and security activities in order to complete more rail system and passenger protection projects.
- g) Support efforts to finalize implementation of the Fixing America's Surface Transportation Act and participate in reauthorization discussions to advocate for appropriate funding levels, transit and rail investments, and expedited federal actions.
- h) Support the implementation of the federal rail title, and seek opportunities for funding to enhance the safety and operation of passenger rail services along the LOSSAN rail corridor.
- i) Support the development of future federal rail capital investment programs.
- j) Support efforts to apply for federal rail capital matching program funds, including Passenger Rail Investment and Improvement Act annual appropriations, and Infrastructure For Rebuilding America grants for LOSSAN Agency priority projects.
- k) Support mechanisms and funding providing for the implementation of the LOSSAN Corridor wide Strategic Implementation Plan, California State Rail Plan, and other rail improvement plans.
- l) Oppose efforts to minimize or reduce the funding commitments that support passenger rail services along the LOSSAN rail corridor.
- m) *Monitor implementation of Executive Order N-19-19, and any related legislative or regulatory efforts, to ensure the LOSSAN Agency remains competitive within existing funding programs and transportation funds are used for their intended purposes.*



## 201920 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program

### II. CONNECTIVITY AND INTEGRATION

- a) Continue working with California Intercity Rail Program partners on the planning, advocacy, and promotion of existing and future passenger rail service at the federal, state, and local level.
- b) Seek opportunities to support and advocate for the LOSSAN rail corridor, as well as emerging rail corridors, services, and high-speed rail.
- c) Support efforts to streamline and enhance transit services that provide for first-and-last mile connections to intercity, commuter, and high-speed rail passenger rail services and stations.
- d) Support state, federal, and local policies and programs that facilitate intermodal connectivity between passenger rail services on the LOSSAN rail corridor and other public transportation systems, including train to plane connections at local airports.
- e) Support efforts that would allow for the future extension of service to connect to areas outside of the existing LOSSAN rail corridor, including a financially sustainable access rate.

### III. INFRASTRUCTURE, SERVICE, AND SAFETY IMPROVEMENTS

- a) Support legislation that encourages smart growth and transit-oriented development, mixed-use development, and joint development opportunities, including improved connectivity to and from rail stations.
- b) Support goods movement initiatives that provide infrastructure and throughput improvements for passenger rail systems.
- c) Support legislation promoting rail safety and rail security, including efforts to fund and responsibly implement and operate Positive Train Control (PTC), and request federal assistance in considering the fiscal, technological, and logistical challenges faced by entities implementing and operating PTC safety technology.
- d) Monitor any administrative reform efforts that may impact rail safety regulatory agencies such as the California Public Utilities Commission.
- e) Monitor the development of federal notices of proposed rulemakings (NPRM), and identify any impacts such proposals may have on passenger rail services. Seek opportunities to engage with, and submit comments to, NPRM-sponsoring agencies to communicate LOSSAN Agency concerns or support related to NPRMs.





## 2020 Los Angeles – San Diego – San Luis Obispo Rail Corridor Agency Legislative Program

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