

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 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) 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. 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 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) 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/cci-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/ci-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/cci-methodologies>