

## CALL FOR PROJECTS

### 2023 TRANSIT AND INTERCITY RAIL CAPITAL PROGRAM AND HIGH PRIORITY GRADE CROSSING IMPROVEMENT AND SEPARATION PROJECTS

#### 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). 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. 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. AB 180 amended the Budget Act of 2021 (Chapters 21, 69 and 240 of the Statutes of 2021) to appropriate \$3,630,000,000 of General Fund to the Transit and Intercity Rail Capital Program and \$350,000,000 of General Fund for High Priority Grade Crossing Improvement and Separation projects.

The 2023 TIRCP grant cycle will program projects starting with the 2022-23 fiscal year and ending with the 2026-27 fiscal year. The new program cycle will include previously awarded and active projects that have not been fully allocated by the end of the 2021-22 fiscal year, and new projects from Cycle 6. The Greenhouse Gas Reduction Fund (GGRF) and SB 1 continue to provide substantial funding available to be programed toward new projects in the TIRCP for future cycles. However, this cycle of programming will utilize General funds established by AB 180.

#### Final Filing Date:

- Existing Project Applicants  
Submission of existing projects preliminary information submittal must be complete by December 6, 2022 **no later than 5:00 PM**.
- New Project Applicants  
(Includes the following categories: Major Projects Project Development Reserve, High Priority Grade Crossing Improvement and Separation Projects, and traditional TIRCP Projects)  
Submission of electronic versions of the project cover letter and Project Narrative Document must be complete by February 10, 2023 **no later than 5:00 PM**.

#### Submission Requirements:

**Applications must be submitted electronically to [tircpcomments@dot.ca.gov](mailto:tircpcomments@dot.ca.gov) in printable format.** 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.

If submitting multiple applications for new projects, or multiple preliminary information submittals for existing projects, each submittal shall be submitted separately. 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.

**Contact Information:**

For further information regarding this solicitation, please contact the program electronically at: [tircpcomments@dot.ca.gov](mailto:tircpcomments@dot.ca.gov).

- Existing Project Applicants

If prospective applicants would like clarification on any requirements described in this solicitation, questions submitted prior to 5:00 p.m. November 21, 2022 will be considered for a 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>

- New Project Applicants

If prospective applicants would like clarification on any requirements described in this solicitation, questions submitted prior to 5:00 p.m. December 20, 2022 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 there are 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 (New Project Applicants only):**

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 virtual meeting for one of on the dates indicated below:

- Virtual Consultations: December 12-16, 2022

Meeting requests should be submitted to [tircpcomments@dot.ca.gov](mailto:tircpcomments@dot.ca.gov) no later than **November 22, 2022**, specifying 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 flexibility with regards to the meeting date and/or time, indicating this will allow better balancing of available time with requests for meetings. Specific time slots will be assigned, and agencies notified by **December 2, 2022**, along with any 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 modeling support for projects that will change service levels and are expected to impact ridership on one or more of the three state-supported intercity rail routes, proposed extensions, and/or proposed intercity corridors. While potential projects should focus on the intercity rail corridors themselves, they can also include the impacts of regional commuter rail systems which feed ridership into the intercity rail system, or otherwise have an impact on intercity ridership, where the impact is expected to be significant. In certain cases, bus and other local transit connections could be modeled if they are expected to have a significant ridership impact on the state intercity rail system.

Project types that can be modeled by the Caltrans rail model may include:

- **Amtrak California Incremental Model:** this model estimates the impact of incremental service changes on the three state-supported Amtrak routes in California. This model is best suited for estimating the impact of service changes that do not fundamentally alter the competitive position of rail versus other modes.
- **Amtrak California Mode Share Model:** this model estimates diversion between automobile travel and rail travel for a given level of rail service and also considers parking costs and roadway travel time assumptions. This model is best suited for situations where the proposed changed to the rail service is expected to fundamentally alter the relative attractiveness of rail versus automobile.

**Please note that these models were developed before the pandemic based on pre-COVID ridership patterns, trip tables, and socioeconomic forecasts. Given the rapidly evolving situation with COVID, the models have not been – and cannot yet be – explicitly adjusted for COVID-era impacts. Current market research suggests there could be a long-term decline in commuter and/or business-related travel (including by rail) post-pandemic due to increased acceptance of teleworking.**

### **Procedure for submitting ridership modeling requests**

The ridership, ticket revenue, and passenger mile impact of a proposed rail service change is established by comparing the demand for rail service with and without this change. The inputs required for ridership, ticket revenue, and passenger mile modeling include:

- A description of the **'baseline'** rail service that will be offered absent the project for which a TIRCP funding application is being submitted. This is usually provided as a passenger timetable in spreadsheet format. – Example: the most recent pre-pandemic timetable representing the times of day where each train called at each station
- The **'proposed'** passenger timetable that will be made possible by the project. For example, with faster travel times, new stations, or additional service frequencies. In the event you do not wish to undertake detailed timetable planning at this stage, please provide written descriptions of the envisioned service changes and we can create a passenger timetable for you. – Example: a statement that travel times will reduce by Y minutes between Station A and Station B, or a statement that there will be two additional frequencies to fill out gaps in the afternoon schedule
  - Please note that any timetable we create may not be constrained by operational considerations (e.g., number of train sets available, efficient use of train crews). However, you may review these timetables before the model is run.

- Milestone year(s) of interest for comparison of with/without the proposed service changes.
- The fare levels and fare changes between the baseline and proposed scenarios.
- Any expected network effects, for example new thruway buses or significant local transit options.
- Any new special generators or major developments along the service corridor.

**Projects which are not expected to result in intercity rail ridership changes**

As described previously, Caltrans’ in-house demand modeling tools are focused in the context of intercity rail travel. We therefore recommend the following alternatives for projects which are focused on urban travel or which are expected to positively impact the delivery of rail service that will not necessarily show in a modeling scenario:

<b>Project Type</b>	<b>Recommendation</b>	<b>Justification</b>
Projects focused on urban travel. For example, local light rail, bus service, etc.	Use a local model, for example that of the Metropolitan Planning Organization (MPO).	The local MPO model will have a more granular zone system and location-specific behavioral parameters that can better capture the dynamics of travel within the urban region in question.
Projects focused on operator benefits. Examples include state of good repair (SOGR) projects or projects to reduced maintenance costs	Financial analysis or benefit-cost analysis to explain the magnitude of cost savings achieved.	These projects do not have a direct impact on ridership. Note: In the case of SOGR projects where deterioration in infrastructure may lead to degraded rail service (e.g., slower trains), we may be able to model the impact on this.
Projects with more tangential impacts on customer journey experience, such as new rolling stock or improved station lighting.	Use academic literature or market research to quantify and benchmark the estimated impact of these changes.	These are not parameters within the existing Caltrans models. We will be pleased to support the desk research with our extensive experience or ‘sense checking’ of any parameters that are proposed.

**Request submission timeline**

While we will do our best to revert results to requestors well in advance of TIRCP Application deadline, we strongly encourage modeling requests to be submitted as early as possible, and no later than 1-2 months before the date by which the model outputs are needed in order to complete your report to meet the TIRCP deadline. Should your agency anticipate requesting ridership and revenue modeling for multiple projects, we are happy to receive materials in batches. Be aware that your agency and/or its consultants

must submit either completed schedules or service patterns as part of your submission by this due date. Therefore, you and your consultants should be engaged well in advance to meet the modeling submission deadline.

Partner agencies who are considering submitting modeling requests must do so by **Friday, December 16, 2022**. This will allow modeling results to be returned in mid to late January. Requests must include a brief summary of the proposed service concept(s) in advance of the service timetables and other inputs being fully prepared. For example: “extension of Route X to City Y”, “Increase service frequency on Route X from A to B”. Applicants who do not submit project summaries by this date will not be eligible for ridership modeling support. These requests and summaries can be submitted to [tircpcomments@dot.ca.gov](mailto:tircpcomments@dot.ca.gov). Agencies can provide multiple project descriptions if they are still deciding which project(s) to apply for.

### **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 CalSTA TIRCP website; <https://calsta.ca.gov/subject-areas/transit-intercity-rail-capital-prog> 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*

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 funds available for this General Fund cycle are already available for award, encumbrance and liquidation, and are expected to be fully encumbered and liquidated by June 30, 2027. These funds are regionally subdivided, with minimum distribution requirements, as noted in Section 1 (Authority and Purpose) of the 2022 TIRCP Guidelines for General Fund Augmentation and where all funds not assigned to one of the set-aside categories will be administered to new projects selected through the regular TIRCP process. The following target ranges reflect the broad range that is possible and should be assumed by applicants:

- A) Southern California, inclusive of the Counties of Imperial, Los Angeles, Orange, Riverside, San Bernardino, San Diego and Ventura:
  - i. **Existing TIRCP Projects Leveraging Federal and Local Funds Reserve:** \$900 million to \$1.35 billion
  - ii. **Major Projects Project Development Reserve:** up to \$150 million
  - iii. **High Priority Grade Crossing Improvement and Separation Projects:** \$140 million to \$280 million
  - iv. **New Projects:** \$331.5 million to \$931.5 million
- B) Rest of the State:
  - i. **Existing TIRCP Projects Leveraging Federal and Local Funds Reserve:** \$900 million to \$1.20 billion
  - ii. **Major Projects Project Development Reserve:** up to \$150 million
  - iii. **High Priority Grade Crossing Improvement and Separation Projects:** \$70 million to \$210 million

iv. **New Projects:** \$148.5 million to \$598.5 million

Senate Bill 9 authorizes CalSTA to enter into a multi-year funding agreement with an eligible applicant for any duration.

CalSTA will adopt a program allocation plan for awarded projects prior to the first Cycle 6 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*

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.

#### New Project Applicants

Agencies may submit multiple applications where 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 8 of the 2022 TIRCP Guidelines for General Fund Augmentation.

### *1.3 Application Review Process*

#### Existing TIRCP Projects Leveraging Federal and Local Funds Reserve

Applications submitted will proceed through a multi-step review process:

1. Basic screening for completeness and eligibility

2. Review of application for impact of funding on project benefits and expected outcomes if project does not receive adequate funding
3. Consideration of technical panel evaluation, potential loss of funds and timing of such loss, timing and likelihood of obtaining the additional matching funds needed to return the project to full funding, whether partial completion may be achieved for any of the projects submitted and whether the remainder of the project may be able to receive funding from future available funding programs (local, state, federal), and geographic balance within the relevant region
4. Project selection by CalSTA, taking into consideration cross-cutting and comparative selection criteria that consider overall program objectives and geographic equity

The Project Selection Process is further detailed in Addendum 1 of the 2022 TIRCP Guidelines for General Fund Augmentation.

#### New TIRCP Projects

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 job's 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;

Major Projects Project Development Reserve Projects, there will be an emphasis on identifying the elements of the proposed project development activities that are most likely to successfully advance the project to receive federal funds. Project benefits will be evaluated with less emphasis on quantitative factors, as many of these measures are not required in the application materials.

The Project Selection Process is further detailed in Section 11 of the 2022 TIRCP Guidelines for General Fund Augmentation, Addendum 2 for Major Projects Project Development Reserve Projects, and Addendum 3 High-Priority Grade Crossing Improvement and Separation Projects.

## **Section 2: Project Application Contents**

#### Existing TIRCP Projects

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 for supplemental funds. 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. Preliminary Information Submittal

- A. Project and Applicant Identification:** Applicant shall state which project is seeking additional funds, identifying the Cycle 1 through 4 project and the whether the funding is needed for the full project scope or for a subcomponent. Most projects should request funding for the full scope, unless partial construction is already fully-funded, and the requested funding is only needed for the remaining construction elements. The applicant must match the original applicant, even if additional parties are involved in receiving funding allocations as implementing agencies.
- B. Demonstration of Project Eligibility:** Applicant shall demonstrate that a supplemental state grant would leverage or maintain an identified source of significant local or federal investment.
- Maintaining funding includes, but is not limited to, seeking funding for projects that are under construction that could lose access to, or be required to repay, committed federal funds unless additional non-federal funds are identified. If specific information has been communicated from the federal partner that an issue must be resolved by a particular deadline, applicant shall provide written documentation of such a requirement, or may be asked to provide the remedies clause requiring repayment from the applicant's Full Funding Grant Agreement. Maintaining funding also includes retaining access to local funds committed to a portion of the project that is not yet fully funded.
  - Leveraging funding includes seeking funding for projects that need additional state funds in order to successfully receive a future federal or local funding commitment, and includes leveraging federal or local funds that were committed to the project budget above the funding level committed to in the original TIRCP application after project award. Documentation of the required timeline shall be provided for the particular partner to solidify the timing and program of an expected future funding commitment. This can include written documentation (e.g. letters, federal reports) from the federal partner that states intended timeframe for entering into agreements such as a Full Funding Grant Agreement (or equivalent, if applicable). It can also include identification of federal or local funding programs for which one or more applications will be submitted, the timing and requirements of such expected funding decisions, and the manner in which the project qualifies for funding.
- C. Proposal for Additional Funding:** Statement of revised financial plan for the project, including all planned sources for returning to fully funded status. Include an explanation of the categories experiencing cost growth and the primary reasons for such growth, as well as a cash flow demonstrating the timing of the requirement for additional funding. Projects that have the option of implementing a portion of their project with reduced additional funding shall include such scenarios in the proposal. If an agency is submitting multiple requests for additional project funding, priorities and scenarios across the multiple requests must be included. Such applicants are encouraged to submit a single application that includes all requests and discusses the timing and request for funding across all projects. Applicants are also encouraged to identify what role the expected FY23-24 and FY24-25 funding identified in SB 198 of the Budget Act of 2021 (totaling \$4 billion and allocated regionally) could play in addressing a portion of the need for existing project funding, and how the use of such funds would apply to the funding proposal. A



project cash flow should be included that demonstrates the proposed draw down schedule for the General Fund resources. Such proposals can include re-timing the already awarded TIRCP funds to enable prompt use of General Fund monies. For projects that are expected to have construction extending beyond June 30, 2027, applicants are encouraged to propose funding plans that use General Fund monies early even if match funding or non-General Fund TIRCP funding is utilized after the 2027 deadline.

- D. Impact of Funding on Project Benefits:** Applicants must state the impact of receiving the requested funding on achieving project benefits. If projects have already fully funded a portion of the project construction for partial benefit, the applicant shall quantify the additional benefits tied to the additional funding request. If a portion of the project benefits can be achieved with a smaller funding request, the applicant shall discuss the revised project benefits in the context of the original application. If additional benefits are expected to be realized as a result of completing the original project compared to the those known when the original application was submitted, the applicant is encouraged (but not required) to quantify and describe such additional benefits.
- E. Statement of Outcomes if Project Does Not Receive Adequate Funding:** Applicant shall indicate the expected outcomes if the project does not receive adequate funding.

#### New TIRCP Projects

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  
Include a brief, non-technical description of the project. The description should focus on how the project will advance the purpose, goals, and objectives for the program or set-aside funding category and explain the public benefits of completing the project. It should include a brief project background, the project purpose, and the need for the project.
- 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. Micro Transit
13. 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 Greenhouse 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

viii. Funding

Clearly identify the amount of TIRCP funding requested and proposed non-TIRCP Matching Funds (if any)

- ix. 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, Infrastructure Investment and Jobs Act funding, or potential local transit funding measures) and the timeline for approval. . If financing is proposed for a portion of the project, indicate the repayment source(s). If

there is a large portion of uncommitted or unfunded cost, applicants must explain their plan for obtaining funds and the level of commitment they have towards receiving those funds. The risk of stranded investment will be taken into consideration when selecting projects. A funding commitment is defined in Section 12 of the TIRCP Guidelines.

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. If any other project elements are eligible for state or federal funding from other programs, also indicate the project scope and cost that is eligible.
- 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. Include, 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.

Applicants may wish to see the CalSTA descriptions of previously awarded projects (2015, 2016, 2018, 2020) 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 10 [10.1, 10.2] , 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 2022 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 10 [10.1, 10.2] 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. 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-funding-guidelines-administering-agencies>
- iii. 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/cci-funding-guidelines-administering-agencies>

**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. Independent Utility**

Independent utility: A project requesting construction funds must have independent utility. If the application is requesting funds for construction and proposing a project segment, then in no more than two paragraphs, explain why the project is being segmented, and why the proposed segment has independent utility.

**K. Consistency with State and Regional Plans**

Explanation and evidence of consistency with the California State Rail Plan, an MPO Regional Transportation Plan and Sustainable Communities Strategy (RTP/SCS), a local agency transportation plan (including general plan circulation elements), or where applicable, the California Freight Mobility Plan: If a project is listed in an existing transportation plan, where applicable, please provide a project identification number. If a project is not listed in an existing transportation plan, project sponsors are strongly encouraged to attain a letter from an MPO or applicable state agency certifying its consistency with the plan and the process and timeline for amending it into the plan in the future. The project does not need to be listed in the RTP/SCS project list to be eligible.

**L. 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.

**ii. 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).

**iii. 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 12 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.
- iv. **Project schedule, including the project's current status and the completion dates of all major delivery milestones.**
- v. **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/-/media/dot-media/programs/financial-programming/documents/eppr-instructions-v101-a11y.pdf>. 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 9 , subsection 14 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. 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, 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. Railroads or Transit Agencies.
- ii. 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.
- iii. 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.
- iv. Regional agency or local agency or agencies.
- v. Ports
- vi. State agencies
- vii. 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.
- viii. 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>