Individual PE/NEPA Activities Application Form

High-Speed Intercity Passenger Rail (HSIPR) Program

Applicants interested in applying for funding of Preliminary Engineering (PE)/National Environmental Protection Act (NEPA) activities under the FY10 Individual Project solicitation are required to submit this application form and other required documents as outlined in Section H of this application. List and describe any supporting documentation submitted in Section G. Applicants should reference the FY10 Individual Projects Notice of Funding Availability (NOFA) for more specific information about application requirements. If you have questions about the HSIPR Program or this application, please contact the Federal Railroad Administration (FRA) at HSIPR@dot.gov.

Applicants must use this form by entering the required information in the gray narrative fields, check boxes, or drop-down menus. Submit this completed form, along with any supporting documentation, electronically by uploading them to GrantSolutions.gov by 5:00 p.m. EDT on August 6, 2010.

A. Point of Contact and Applicant Information

Applicant should ensure that the information provided in this section matches the information provided on the SF-424 forms.

<table>
<tr><td colspan="3">(1) Name the submitting agency:
California Department of Transportation</td><td colspan="3">Provide the submitting agency Authorized Representative name and title.:
William D. Bronte
Chief, Division of Rail</td></tr>
<tr><td>Street Address:
1120 N Street
P.O. Box 942874 – MS 74</td><td>City:
Sacramento</td><td>State:
CA</td><td>Zip Code:
94274-0001</td><td colspan="2">Authorized Representative telephone:
916-654-6542
Authorized Representative email:
bill_bronte@dot.ca.gov</td></tr>
<tr><td colspan="3">Provide the submitting agency Point of Contact (POC) name and title (if different from Authorized Representative):
Lea M. Simpson
Chief, Capital Projects and Operations, South Branch</td><td colspan="3">Submitting agency POC telephone: 916-654-7184
Submitting agency POC email: lea_simpson@dot.ca.gov</td></tr>
<tr><td colspan="6">(2) List the name(s) of additional state(s) applying (if applicable):

na</td></tr>
</table>

B. Eligibility Information

Complete the following section to demonstrate satisfaction of applicant eligibility requirements.

(1) Select the appropriate box from the list below to identify applicant type. Applicant type is defined in Section 3.1 of the NOFA.

- ☒ State
- ☐ Group of States
- ☐ Amtrak
- ☐ Amtrak in cooperation with one or more States

If selecting one of the types below, additional documentation is required. Please select the appropriate box to establish applicant eligibility as described in Section 3.2 of the NOFA and list the supporting document in Section G.2 of this application.

- ☐ Interstate Compact
- ☐ Public Agency established by one or more States

(2) Indicate the planning processes used to identify the underlying project.[1] As defined in Section 3.5.1 of the NOFA, the process should analyze the investment needs and service objectives of the service that the underlying project is intended to benefit. The appropriate planning document must be listed in Section G.2 of this application.

- ☒ State Rail Plan
- ☐ Service Development Plan (SDP)
- ☐ Service Improvement Plan (SIP)
- ☒ Statewide Transportation Improvement Plan (STIP)
- ☒ Other, please list this document in Section G.2 with "Other Appropriate Planning Document" as the title
- ☐ The underlying project is not included in a relevant and documented planning process

[1] PE/NEPA activities include the specific tasks necessary to complete PE/NEPA documentation and other tasks applied for in this application that relate to this phase of the underlying project's development. The underlying project is the larger area and/or infrastructure that will be become the Final Design (FD)/Construction project following completion of the PE/NEPA activities.

C. PE/NEPA Activities Summary

Identify the title, location, and other information of your proposed PE/NEPA work by completing this section.

(1) Provide a clear, concise, and descriptive project name. Use identifiers such as state abbreviations, major cities, infrastructure, and tasks of the underlying project (e.g., "DC-Capital City to Dry Lake Track Improvements").

CA-PAC SURF-PSRs

(2) Indicate the anticipated funding level for the PE/NEPA activities below. This information must match the SF-424 forms, and dollar figures must be rounded to the nearest whole dollar. When the non-Federal match percentage is calculated, it must meet or exceed 20 percent of the total project cost.

Federal Funding Request	Non-Federal Match Amount	Total PE/NEPA Activities Cost	Non-Federal Match Percentage of Total Activities Cost
$ 400,000	**$** 200,000	**$** 600,000	33 **%**

(3) Indicate the activity(ies) for which you are applying. Check all that apply.

☒ Preliminary Engineering ☒ Project NEPA[2]

(4) Indicate the anticipated duration, in months, for these PE/NEPA activities (e.g., 36).

Number of Months: *12*

(5) List the name of the corridor where the underlying project is located.

Amtrak's Pacific Surfliner intercity corridor.

(6) Describe the underlying project location, using municipal names, mileposts, control points, or other identifiable features such as longitude and latitude coordinates. If available, please provide a project GIS .shp file as supporting documentation. This document must be listed in Section G.2 of this application.

This project is located in the Cities of Carlsbad, Encinitas, and San Diego, California, at segments between Mileposts 228.5 and 264.1.

(7) Provide a project abstract outlining the proposed PE/NEPA activities. Summarize the project narratives provided in the Statement of Work in 4-6 sentences. Capture the major milestones and outcomes of PE/NEPA activities and the anticipated benefits that will result from the completion of the underlying project.

This project completes preliminary engineering, including conceptual design and environmental documentation, on capacity improvements to the Pacific Surfliner Corridor in the Cities of Carlsbad, Encinitas, and San Diego, California. Together, these projects construct 5.4 miles of double track and are necessary for long-term service improvements for intercity passenger trains serving San Diego County. This project will have travel time savings and on-time performance benefits for all rail services including Pacific Surfliner trains, and will help alleviate residual train delays in the respective areas. The proposed improvements connect two existing sections of double track resulting in longer stretches of double track that alleviate meets and stops. Work will be completed on publicly-owned railroad rights of way, owned either by North County Transit District (NCTD) or San Diego Metropolitan Transit System (MTS). A project map is attached.

[2] Project NEPA documentation is required for the specific design alternative identified through Preliminary Engineering and related activities. Project NEPA documentation may also be referred to as site-specific NEPA or Tier II NEPA documentation.

(8) Indicate the source, amount, and percentage of matching funds for the PE/NEPA activities. The sum of the figures below should equal the amount provided in Section C.2. Click on the prepopulated fields to select the appropriate responses from the lists provided in type of source, status of funding, and type of funds. Dollar figures must be rounded to the nearest whole dollar. Identify supporting documentation that will allow FRA to verify the funding source, and list it in Section G.2 of this application.

Non-Federal Funding Sources	New or Existing Source?	Status of Funding[3]	Type of Funds	Dollar Amount	% of Total Project Cost	Describe Any Supporting Documentation to Help FRA Verify Funding Source
Local TransNet Program	Existing	Planned	Cash	$ 200,000	33 %	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
Sum of Non-Federal Funding Sources				$ 200,000	33 %	N/A

[3] Reference Notes: The following categories and definitions are applied to funding sources:

Committed: Committed sources are programmed capital funds that have all the necessary approvals (e.g., statutory authority) to be used to fund the proposed project without any additional action. These capital funds have been formally programmed in the State Rail Plan and/or any related local, regional, or state capital investment program or appropriation guidance. Examples include dedicated or approved tax revenues, state capital grants that have been approved by all required legislative bodies, cash reserves that have been dedicated to the proposed project, and additional debt capacity that requires no further approvals and has been dedicated by the sponsoring agency to the proposed project.

Budgeted: This category is for funds that have been budgeted and/or programmed for use on the proposed project but remain uncommitted (i.e., the funds have not yet received statutory approval). Examples include debt financing in an agency-adopted capital investment program that has yet to be committed in the near future. Funds will be classified as budgeted when available funding cannot be committed until the grant is executed or due to the local practices outside of the project sponsors control (e.g., the project development schedule extends beyond the State Rail Program period).

Planned: This category is for funds that are identified and have a reasonable chance of being committed, but are neither committed, nor budgeted (e.g., proposed sources that require a scheduled referendum, requests for state/local capital grants, and proposed debt financing that has not yet been adopted in the agency's capital investment program).

D. Underlying Project Overview

Answer the following questions about the underlying construction project that is the subject of the PE/NEPA application.

(1) Indicate the expected service outcomes of the underlying project.[4] Check all that apply.

- ☒ Additional service frequencies
- ☒ Service quality improvements
- ☒ Increased average speeds/shorter trip times
- ☒ Improved operational reliability on existing route
- ☒ Improved on-time performance on existing route
- ☒ Other (please describe) Safety improvements; Improved Customer Experience

Briefly clarify your response(s), if needed:

(2) Quantify the applicable service outcomes of the underlying project. Provide the current conditions and anticipated service outcomes. Future state information is necessary only for relevant service benefits.

	Frequencies[5]	**Scheduled Trip Time** (in minutes)	**Average Speed** (mph)	**Top Speed** (mph)	**Reliability –** Provide Either On-Time Performance Percentage or Delay Minutes
Current	**22**	**165**	**47**	**90**	**75**
Future	**26**	**157**	**49**	**90**	**85**

(3) Indicate the type of expected capital investments included in the underlying project. Check all that apply.

- ☐ Structures (bridges, tunnels, etc.)
- ☒ Track rehabilitation and construction
- ☐ Major interlockings
- ☐ Station(s)
- ☒ Communication, signaling, and control
- ☐ Rolling stock refurbishments
- ☐ Rolling stock acquisition
- ☐ Support facilities (yards, shops, administrative buildings)
- ☐ Grade crossing improvements
- ☐ Electric traction
- ☐ Other (please describe)

(4) Select and describe the operational independence of the underlying project.[6]

☒ This project is operationally independent. ☐ This project is not operationally independent.

Briefly clarify your response:

This project is operationally independent and when completed, will provide measurable benefits to the corridor as outlined above.

[4] The underlying project is the larger area and/or infrastructure that will be become the FD/Construction project following completion of the PE/NEPA activities.

[5] Frequency is measured in daily one-way train operations. One daily round-trip operation should be counted as two daily one-way train operations.

[6] A project is considered to have operational independence if, upon being implemented, it will provide tangible and measurable benefits, even if no additional investments in the same service are made.

(5) Provide Right-of-Way ownership in the underlying project area. Where railroads currently share ownership, identify the primary owner. If Amtrak is the Type of Railroad, the Right-of-Way Owner field does not need to be completed. Click on the prepopulated fields to select the appropriate response from the lists of railroad types and status of agreements. If more than five owners, please provide the same information in a separate supporting document, and list it in Section G.2 of this application.

Type of Railroad	Right-of-Way Owner	Route-Miles	Track-Miles	Status of Agreements to Implement
Commuter Railroad or Authority	San Diego Metropolitan Transit System	1	2	Master Agreement in Place
Commuter Railroad or Authority	North County Transit District	5	10	Master Agreement in Place
Amtrak				Master Agreement in Place
Amtrak				Master Agreement in Place
Amtrak				Master Agreement in Place

(6) Name the Intercity Passenger Rail Operator and provide the status of the agreement. If applicable, provide the status of the agreement with the partner that will operate the planned passenger rail service (e.g., Amtrak). Click on the prepopulated field to select the appropriate response from the status of agreement list.

Name of Rail Service Operator	Status of Agreement
Amtrak	Final executed agreement on project scope/outcomes

(7) Identify the types of services affected by the underlying project and provide information about the existing rail services within the underlying project boundaries (e.g., freight, commuter, and intercity passenger). Click on the prepopulated fields to select the appropriate response from the list of types of service.

Type of Service	Name of Operator	Top Existing Speeds Within Underlying Project Boundaries		Number of Route-Miles Within Underlying Project Boundaries	Average Number of Daily One-Way Train Operations[7] Within Underlying Project Boundaries	Notes
		Passenger	Freight			
Intercity Pa	Amtrak	90		6	22	
Commuter	COASTER	90		6	22	
Freight	BNSF Railway		60	6	8	
Freight						
Freight						
Freight						

[7] One daily round-trip operation should be counted as two daily one-way train operations.

(8) Estimate the share of benefits that will be realized by nonintercity passenger rail service (e.g., commuter, freight) and select the approximate cost share to be paid by the beneficiary.[8] Click on the prepopulated fields to select the appropriate response from the lists of type of beneficiary, anticipated share of benefits, and approximate cost share. If more than three types of nonintercity passenger rail are beneficiaries, please provide additional information in a separate supporting document, and list in Section G.2 of this application.

Type of Nonintercity Passenger Rail	Expected Share of Benefits	Approximate Cost Share
Commuter	Less than 50%	0-25%
Freight	Less than 50%	0-25%
Freight	Less than 50%	0-25%

[8] Benefits include service improvements such as increased speed, on-time performance, improved reliability, and other service quality improvements.

E. Additional Response to Evaluation Criteria

Provide a separate response to each of the following categories of potential benefits to identify the ways in which the proposed PE/NEPA activities and underlying project will achieve these benefits.[9]

(1a) Transportation Benefits

Describe the ways in which the proposed PE/NEPA activities or underlying corridor program will address the potential of successfully executing these transportation benefits in a cost-effective manner:

- Supporting the development of intercity high-speed rail service;
- Generating improvements to existing high-speed and intercity passenger rail service, as reflected by estimated increases in ridership (as measured in passenger-miles), increases in operational reliability (as measured in reductions in delays), reductions in trip times, additional service frequencies to meet anticipated or existing demand, and other related factors;
- Generating cross-modal benefits, including anticipated favorable impacts on air or highway traffic congestion, capacity, or safety, and cost avoidance or deferral of planned investments in aviation and highway systems;
- Creating an integrated high-speed and intercity passenger rail network, including integration with existing intercity passenger rail services, allowance for and support of future network expansion, and promotion of technical interoperability and standardization (including standardizing operations, equipment, and signaling);
- Encouragement of intermodal connectivity and integration through provision of direct, efficient transfers among intercity transportation and local transit networks at train stations, including connections at airports, bus terminals, subway stations, ferry ports, and other modes of transportation;
- Enhancing intercity travel options;
- Ensuring a state of good repair of key intercity passenger rail assets;
- Promoting standardized rolling stock, signaling, communications, and power equipment;
- Improved freight or commuter rail operations, in relation to proportional cost-sharing (including donated property) by those other benefiting rail users;
- Equitable financial participation in the project's financing, including, but not limited to, consideration of donated property interests or services; financial contributions by freight and commuter rail carriers commensurate with the benefit expected to their operations; and financial commitments from host railroads, non-Federal governmental entities, nongovernmental entities, and others;
- Encouragement of the implementation of positive train control (PTC) technologies (with the understanding that 49 U.S.C. 20147 requires all Class I railroads and entities that provide regularly scheduled intercity or commuter rail passenger services to fully institute interoperable PTC systems by December 31, 2015); and
- Incorporating private investment in the financing of capital projects or service operations.

Support of High-Speed Rail Service: Completion of this project will improve existing intercity rail service and specifically rail access and schedule reliability for the Pacific Surfliner passenger services, enhance intercity travel options, increase capacity and goods movement and strengthen future intercity rail connections to the California High-Speed Rail System. Amtrak, Metrolink and COASTER will all act as important rail feeder services to the future California High-Speed Rail system, transporting passengers from San Diego, Riverside, San Bernardino and Orange counties to either the Anaheim Station or Los Angeles Union Station (LAUS), both key rail hubs for high-speed, intercity, and commuter passenger rail services.

Improvements to Existing Service: Key project benefits for the corridor's existing intercity service include improved reliability, on-time performance and safety, increased average speed, and trip time reduction. Currently, overall on-time performance of the passenger rail service in the project area is 75 percent. Together with other planned capital projects in the San Diego portion of the corridor, on-time performance is forecast to increase by 15 percentage points, to 90 percent. This project will help to increase the reliability of rail service and accommodate additional services, including new limited-stop "express" intercity trains operated by Amtrak. Reduced end-to-end

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travel time will allow more optimized equipment rotation, and enhanced cost-effectiveness of intercity operations in the corridor.

Cross-modal Benefits: These operational benefits would be shared with freight and commuter passenger rail services. Freight trains, which account for 15 percent of the traffic volume in the project area, are operated by BNSF Railway under a shared-use agreement with NCTD. This agreement and service would be maintained after the project is completed. The corridor is also utilized by COASTER trains, which also will see improved potential for service increases and performance benefits due to this corridor program.

Intercity Travel Options: Over the next 20 years, Southern California is projected to grow by 3.4 million residents. This translates into growth of intercity travel by 24 percent. According to the Purpose and Need for improvements in the corridor, the region's existing transportation network of rail, highway, and air services is currently operating at or near its design capacity, and building additional capacity is both expensive and increasingly problematic. Improvements to the Pacific Surfliner Corridor would improve passenger rail travel between Los Angeles and San Diego, provide for a better interface with transit and highways, and provide added capacity within a multimodal strategy to help meet increases in intercity travel demand in the region.

Integrated Rail Network: Any improvements on the corridor would build upon an already strong intercity passenger rail network that includes connections to local bus and/or rail service at nearly every station. LAUS, for example, is a hub for Amtrak long-distance and Amtrak California passenger trains, Metrolink commuter trains, the Metro Red, Purple and Gold Line rail services, LAX Flyaway bus service, and several bus services. As discussed above, corridor passenger rail services will act as an important feeder to the statewide high-speed rail system through connections at Anaheim, LAUS, and downtown San Diego. When the high-speed trains enter revenue service, both Amtrak Pacific Surfliner and commuter services will feed into the statewide system, allowing communities not located along the statewide high-speed corridor to be connected to the service.

Intermodal Benefits: Improvements that increase capacity, reduce travel time, and improve reliability help maintain and attract ridership on the service. Additional ridership maximizes the cost-effectiveness of the State's investment by reducing operating subsidies, allowing funds to be used on other rail improvements or to expand service. These projects would make rail travel a more attractive transportation alternative in the corridor. Improvements to the corridor also would result in better connections to public transit services, including direct services to airports in Los Angeles, Orange, and San Diego counties, as well as key local bus feeder services to reach downtowns and other major activity centers.

State of Good Repair, Standards and PTC: This project will maintain the railroad in a state of good repair, as track and signal systems are upgraded and aging bridge structures are replaced as needed. These projects also will upgrade track, signals, and communications systems to current standards. Southern California railroads have committed to substantial implementation of Positive Train Control (PTC) by 2012, with full implementation scheduled in advance of the 2015 federal mandate.

Financial Equity: Non-Federal matching funds in excess of the minimum 20 percent are available from the TransNet local transportation sales tax program.

Rail safety is also a component of this project due to the construction of double track.

(1b) Other Public Benefits

Demonstrate the potential of the proposed PE/NEPA activities or underlying project to achieve other public benefits in a cost-effective manner:

- Environmental quality and energy efficiency and reduction in dependence on foreign oil, including use of renewable energy sources, energy savings from traffic diversions from other modes, employment of green building and manufacturing methods, reductions in key emissions types, and the purchase and use of environmentally sensitive, fuel-efficient, and cost-effective passenger rail equipment;
- Promoting interconnected livable communities, including complementing local or state efforts to concentrate higher-density, mixed-use, development in areas proximate to multi-modal transportation options (including intercity passenger rail stations);
- Improving historic transportation facilities; and

- Creating jobs and stimulating the economy. Although this solicitation is not funded by the American Recovery and Reinvestment Act of 2009 (Public Law 111-5), these goals remain a top priority of this Administration. Therefore, Individual Project applications will be evaluated on the extent to which the project is expected to quickly create and preserve jobs and stimulate rapid increases in economic activity, particularly jobs and activity that benefit economically distressed areas, as defined by section 301 of the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. 3161) ("Economically Distressed Areas").

Environmental Benefits:

The goal and benefit of this project, and others that promote intercity rail, is the reduction of single-occupant motor vehicle travel and the resulting air quality, congestion, petroleum consumption, and safety impacts/costs of this travel. This program will contribute to that goal by offering more rapid, safe and reliable passenger rail transportation that will attract travelers from single-occupant motor vehicles. Improvement of the State's transportation infrastructure will improve mobility in the area, which will in turn improve the economy, the environment, and support social equity.

The project has the potential to increase the speed and reliability of passenger rail service between San Diego and Los Angeles. If the over-riding environmental goal of reducing the amount of single-occupant automobile travel in the State is to be achieved, the speed and reliability of the passenger rail system must be increased to a very high level. These projects will support that goal. Passenger rail service provides a significant contribution to reducing dependence on oil and reducing greenhouse gas emissions.

The benefit of freight rail service in the region that replaces trucks on the road is also significant. Just one intermodal train can take more than 280 trucks off the nation's long-distance highways. If just ten percent of the freight that currently moves by truck were diverted to rail, over one billion gallons of fuel would be saved.

The transportation sector is the State's largest source of greenhouse gases (GHG). Between 2002 and 2004 the transport sector annually accounted for approximately 38 percent of the State's total GHG emissions; the on-road portion alone (as distinguished from aviation, rail and water-borne) represented approximately 36 percent of total GHG emissions. Research shows that both carbon dioxide (CO2) emissions and energy use are reduced when rail travel is compared to the automobile. Recent figures illustrate that on a per passenger basis, trains emit 43 pounds of CO2 while cars emit 124 pounds. Energy use per passenger mile is 2,709 British Thermal Units (BTUs) with trains and 3,445 with cars. Data confirms that intercity passenger rail is more fuel-efficient than cars, thus it conserves more fuel and improves air quality. Intercity rail becomes increasingly more efficient as the number of passengers increase per train.

Intercity Passenger Rail supports the "Global Warming Solutions Act" (AB 32, 2006). This landmark bill requires the State's global warming emissions to be reduced to 1990 levels by 2020.

The California Department of Transportation (Caltrans) preserves California's investment in State-owned rail cars and locomotives through frequent inspections and maintenance cycles. California has the largest fleet of State-owned rail equipment in the country. Rebuilt locomotives now meet EPA clean air standards. Caltrans is also improving the fuel efficiency and emission reduction of its State-owned locomotives. During the past decade the Environmental Protection Agency instituted a new emission requirement for diesel locomotives. The State owns 17 locomotives (15 EMD F59 and two General Electric [GE] units). All F59 locomotives used in the State-supported rail system, meet the Tier 0 requirements. The F59 locomotives were upgraded to Tier 0 before being required to do so. The two GE locomotives were overhauled in 2008, and brought up to Tier 0 standards. The F59 locomotives will receive Tier 2 engine kits for the main engines at their next overhaul which began in 2008. They will then emit 35 percent less NOx and less than half the particulates than previously allowed in Tier 1 at 25 percent less NOx and 33 percent less particulates than previously allowed in Tier 0. Additionally, the Head End Power (HEP) units on the locomotives, which generate electricity to supply power for lighting and utilities within the passenger cars, are being updated. All F59 locomotives are scheduled to be equipped with Automatic Engine Start Stop (AESS) systems within the next year. This system reduces excessive engine idling resulting in reduced exhaust emissions and fuel savings. To date five systems have been installed and preliminary analysis show a marked reduction in emissions and increased fuel savings.

Amtrak and BNSF Railway operate to protect and enhance the environment by monitoring and measuring environmental performance indicators and goals. Caltrans supported Intercity Passenger trains are committed to

environmental stewardship and play a vital role in our nation's economy, while reducing emissions, saving fuel and relieving highway congestion.

Livable Communities:

By 2030, the Pacific Surfliner Corridor will be home to more than 21 million residents, an increase of nearly 5 million since 2000, pointing to the need for a wide variety of housing choices, more affordability, more accessible public transportation services, more walkability, and a greater mix of land uses. Pacific Surfliner Corridor agencies are improving connections between land use and transportation using smart growth principles. Rail stations serve as central activity centers that are integrated into communities. Examples of improved transit/land use integration and improved multimodal connections in the corridor include:

Santa Barbara, California has an active program, Santa Barbara Car Free, encouraging alternative means to get to and from the intercity rail station including walking, biking, and a local electric transit shuttle.

The Chatsworth Station, currently served by Amtrak intercity trains and Metrolink commuter rail service, will become a major bus/rail transfer point for the region in 2012 with the extension of the Metro Orange Line, a dedicated regional busway. LA Metro operates an on-site child care center. The adjacent regional bikeway will also be extended to provide an 18-mile dedicated east-west bikeway.

LAUS is the intermodal transportation center for the Los Angeles area and includes direct connections between airport flyaway bus, local and commuter bus, Amtrak intercity and long distance trains, Metrolink commuter rail, Metro subway and light rail, and future high speed rail services. Each day, nearly 400 trains depart Union Station and last year, 1.2 million intercity passengers used LAUS.

The Anaheim Regional Transportation Intermodal Center (ARTIC) will include direct connections between existing intercity, commuter, and future high-speed rail services, and bus connections. Transit-oriented development near ARTIC will integrate the station into the surrounding community.

The City of Santa Ana in Orange County, California, is using local transportation funds to study the feasibility of local streetcar routes to integrate transit into the character of the local community, promote economic development, and provide first/last mile connections between the intercity and commuter rail station and downtown.

NCTD has developed a mixed use, high density master plan for the Oceanside Transit Center, a major transfer point between intercity, commuter, and light rail services and local bus, within walking distance to the City of Oceanside's proposed smart growth town center.

Downtown San Diego is the region's administrative, legal, government, business, entertainment, and cultural center, with the largest centralized, high-density housing in the region. The Centre City Community Plan contains designated land uses that will allow people to live and work near transit in pedestrian-friendly neighborhoods.

Economic Benefits:

Each day in the region, nearly 300 Amtrak intercity trains, Metrolink and COASTER commuter trains, and BNSF Railway and Union Pacific freight trains operate on the same tracks; a rail network that is stretched to capacity. There are over 1.3 million monthly trips taken on passenger rail of which 1 million or 72 percent are work trips. Passenger rail service in the corridor is a safe, reliable, efficient passenger train service that provides a viable commute alternative and expands the reach of employment opportunities into to and from economically distressed areas. The average commute distance in the southern California region is seven miles, whereas the average commute trip length of intercity riders in the corridor is 47 miles, and of intercity riders in general is over 83 miles.

This project is expected to have two-tier economic benefits in the Southern California region: short-term local economic stimulus and long-term economic growth. The project is expected to create jobs in all sectors of the labor and technical professions needed to plan and construct these improvements. In addition to the construction jobs, this project is likely to create jobs in other industries, especially in the service sector in Southern California, since the project will have positive effects on mobility. This project would bring additional economic benefits, namely time savings from reduced congestion, shorter travel times, and smoother goods movement in the Southern California region; a vital contribution to the regional economy.

Total project spending of $0.6 million will sustain economic activity in Southern California of more than $1 million, generating 10 annual full-time equivalent jobs with earnings of $0.5 million.

The State of California identifies a Disadvantaged Community (DAC) as any community where the median household income is below 80 percent of the statewide household income, relying upon 2000 Census data. According to this definition, there are more than 84 disadvantaged communities in the six-county Southern California region. In 2000 there were 136,593 people employed in the construction industry in DACs. This represented 33 percent of the regional construction industry employment.

(2) Project Delivery Approach

Consider the following factors to determine the risk associated with the PE/NEPA activities delivery within budget, on time, and as designed:

- The applicant's financial, legal, and technical capacity to implement the project, including whether the application depends upon receipt of any waiver(s) of Federal railroad safety regulations that have not been obtained;
- The applicant's experience in administering similar grants and projects, including a demonstrated ability to deliver on prior FRA financial assistance programs;
- The soundness and thoroughness of the cost methodologies, assumptions, and estimates for the proposed project;
- The reasonableness of the schedule for project implementation;
- The thoroughness and quality of project management documentation;
- The timing and amount of the project's future noncommitted investments;
- The overall completeness and quality of the application, including the comprehensiveness of its supporting documentation;
- The readiness of the project to be commenced; and
- The timeliness of project completion and the realization of the project's anticipated benefits.

Financial, Legal, and Technical Capacity: Caltrans manages two intercity routes operated by Amtrak, the Pacific Surfliner and San Joaquin, and financially supports a third, the Capitol Corridor. Caltrans Contract Managers are responsible for the following: developing detailed descriptions of services; requesting services; ensuring compliance with contract provisions; monitoring Contractor's progress to ensure work is on schedule, complete, and acceptable; approving products and/or services; reviewing invoices; monitoring expenditures; authorizing payments; requesting timely contract renewals or amendments when necessary; and closing out contracts. The Division of Procurement and Contracts (DPAC) and Contract Managers work together to ensure necessary services are procured in accordance with and compliance to State laws and regulations and aid in the successful operation of the total delivery of service.

Grant Experience: Caltrans, Division of Rail (DOR) has vast experience in managing various sized rail investment projects. Caltrans has Project Managers in place that are authorized representatives of the State, responsible for the administration of contracts and monitoring/documenting Contractors' performance.

Thoroughness of project estimates: Caltrans has documented history of our ability to deliver intercity passenger rail projects. Since the year 2000, Caltrans has managed and delivered $650 million dollars in projects that are identified and coordinated with freight and commuter railroad partners. For the Oceanside Double Track Project, Caltrans and Amtrak entered into a contract on August 15, 2006 for a total of $13,103,000 to replace a timber bridge and construct 1.2 miles of double tracking, in order to eliminate most dispatcher delays and increase schedule reliability, on-time performance and track speed. Construction was completed on March 27, 2009, which is four months prior to the contract expiring and under budget by $134,000. Cost estimates and schedules for the project are based on experience in the corridor over the last 30 years, with construction of more than $1 billion in projects. This experience minimizes engineering and constructability risks.

Project Management Plan: The DOR Project Management Plan outlines the various steps involved in developing and implementing a capital project in the Intercity Passenger Rail Program as well as the roles and responsibilities associated with administering the project. Caltrans will administer the contract and provide oversight to ensure contract compliance. Caltrans project manager will approve work in progress and provide project acceptance when all the construction elements are satisfactorily completed. Caltrans has an Audits and Investigations office that reviews contracts before contract award to determine if the contractor is able to fulfill the contractual obligations. Audits also reviews completed projects to verify that the contractor has fulfilled his/her contractual obligations. Caltrans will have regular meetings with contractor to discuss progress to date on the project and contractor will provide quarterly progress reports. Caltrans will provide quarterly reports in conformance to Federal requirements

for project progress reporting.

Contract Management and Completeness: For each contract, Caltrans Contract Managers will do the following: ensure that all federal or special regulations are adhered to; review progress reports and interim products for compliance with contract objectives and timeframes; maintain constant status of contracts' available encumbrances balances by keeping a running total of charges and cost for each contract on a spreadsheet; review encumbrance information in contracts to ensure all figures are correct and the encumbrance is sufficient for the current fiscal year, and provide necessary documentation as requested. The Contract Manager will notify Budgets, Resource Management, or Accounting Encumbrance units, if problems occur, and move encumbrance from one Project ID into another Project ID near the end of the fiscal year, if needed. Contract Managers must ensure that work proceeds on schedule and is completed and accepted by Caltrans before contracts expire and services are paid.

Project Readiness and Benefits: Pending funding, the project is ready to begin, with completion budgeted within 12 months. Progress and successful completion will mean the project can proceed into project-level environmental, final design and construction.

(3) Project Delivery Approach

Address the likelihood of realizing the proposed project's benefits:

- The quality of financial planning documentation that demonstrates the financial viability of the HSIPR service that will benefit from the project;
- The availability of any required operating financial support, preferably from dedicated funding sources for the benefiting intercity passenger rail service(s);
- The quality and adequacy of project identification and planning;
- The reasonableness of estimates for user and non-user benefits for the project;
- The comprehensiveness and sufficiency, at the time of application, of agreements with key partners (including the railroad operating the intercity passenger rail service and infrastructure-owning railroads) that will be involved in the operation of the benefiting intercity passenger rail service, including the commitment of any affected host-rail carrier to ensure the realization of the anticipated benefits, preferably through a commitment by the affected host-rail carrier(s) to an enforceable on-time performance of passenger trains of 80 percent or greater;
- The favorability of the comparison between the level of anticipated benefits and the amount of Federal funding requested; and
- The applicant's contribution of a cost share greater than the required minimum of 20 percent.

Fund Availability: Since 1976, the State of California has invested more than $1 billion in capital improvements on the Pacific Surfliner corridor, not including investments in new rolling stock. The State Public Transportation Account (PTA) has to date been the sole funding source for intercity rail operations and equipment overhaul. State Proposition 116 designated the Account as a trust fund to be used "only" for transportation planning and mass transportation purposes (Public Utilities Code Section 99310.5). State law designates the funding sources of the PTA, which are primarily sales tax on diesel fuel and a portion of sales tax on gasoline. Public Utilities Code Section 99315 specifies that PTA funds are to be used for intercity rail services. Each year an appropriation is included in the State Budget for intercity rail operations and heavy equipment overhaul (Item 2660-001-0046). In FY 2009-10 the base budget funding amount for intercity rail operations is $90.3 million and $13.2 million for heavy equipment overhaul. The appropriation level for intercity rail operations becomes the base for the following year's budget.

Each year Los Angeles County Transportation Authority (Metro), Orange County Transportation Authority (OCTA), Ventura County Transportation Commission (VCTC) and NCTD program funding towards Rehabilitation of the rail right-of-way in the Pacific Surfliner Corridor owned by these four public agencies. In FY 2009-10 they programmed $26 million and in FY 2010-11 have programmed $8.7 million in System Preservation expense. Further, the Southern California Regional Rail Authority (SCRRA) and NCTD maintains this rail right-of-way and the operating maintenance expense of $15.5 million in FY 2009-10 and $16.0 million in FY 2010-11 is funded by the four public agencies.

The analysis shows the farebox ratio on the Pacific Surfliners is projected to be 67.8 percent in FY 2017-18.

Project Identification and Planning: Two detailed documents have been completed identifying project priorities

through detailed operations modeling and other evaluation criteria. In 2009, two complementary corridor-specific planning studies were completed. First, NCTD, San Diego Association of Governments (SANDAG), Amtrak, BNSF Railway, and Caltrans completed a detailed prioritization study of 40 rail projects along the San Diego portion of the corridor. Each project was evaluated on a series of criteria, rail performance being the most heavily weighted. Other criteria included cost, project delivery, environmental, community, and safety. Double tracking projects included in this corridor program ranked in the top 20 percent in this analysis. Second, OCTA worked with Metrolink and Caltrans to complete a technical memorandum in July 2009 that identified track and signal projects necessary to enhance the Pacific Surfliner Corridor through reduced travel times, improved reliability and safety, and expanded capacity and accessibility. Each of the projects included in this corridor program was identified in the technical memorandum as a project that would improve passenger rail operations and have corridorwide benefit.

User and Non-User Benefits: The user and non-user benefits are discussed under Transportation and Other Public Benefits sections. These benefits have been developed through best practices in the industry.

Key Agreements: Caltrans funding agreements with Railroads and Local Governmental Agencies include language that states that the project work is to be performed for total cost not to exceed the amount stated in the agreement. If the Railroad or Local Governmental Agency identifies an issue that will increase the cost of the project, the DOR works with them to identify other funding sources or revise the project scope to achieve the same benefit. Other funding sources available include State of California general obligation bonds authorized by the voters in 2006 and 2008 or through the State's regular capital funding programs.

In the attached letters of support the San Diego agencies have committed to build, operate and maintain the proposed improvements in their own territories if the projects are funded. The Intercity Agreement for operation in the Pacific Surfliner Corridor between Amtrak and SCRRA and the five member agencies of SCRRA has been in place since 1992. In addition, the Intercity Agreement requires that if an intercity train on SCRRA territory falls five minutes behind schedule, the train miles will not be covered by the incentive portion of the agreement. This results in the loss of $3.25 for every train-mile that is more than 5-minutes behind schedule. This penalty excludes scheduled construction or mechanical delays. In addition, if a train arrives on SCRRA territory later than the published schedule, that time is assumed as the schedule for purposes of this payment. SCRRA also dispatches the intercity trains in San Diego County.

Cost Sharing: The corridor program has significant benefits as discussed above and the federal funding request is less than the maximum of 80 percent. The applicant's contribution is greater than the minimum.

F. Statement of Work

Provide a detailed response for how the PE/NEPA activities will be carried out in the text fields and tables provided. The tables in this section are unlocked; applicants can add rows, as necessary, for additional tasks. If you reference a supporting document, it must be listed in Section G.2.

(1) Background. Briefly describe the events that led to the need for the proposed PE/NEPA activities and the underlying issue the project will address. Also describe the rational planning process used to analyze the investment needs and service objectives of the full corridor on which the individual underlying project and the PE/NEPA activities are located.

Amtrak's Pacific Surfliner rail corridor is the nation's second busiest, serving six counties and 351 miles along the southern California coastline. This rail corridor, also known as the Los Angeles-San Diego-San Luis Obispo (LOSSAN) rail corridor, is shared between Amtrak's Pacific Surfliner intercity passenger rail, Metrolink and COASTER commuter rail services and BSNF Railway and Union Pacific (UP) freight services. The corridor's passenger rail services will provide a key connection to the state's future high-speed train service at Anaheim, downtown San Diego, and Los Angeles Union Station.

The California State Rail Plan identifies the programs and policies needed in order for the state's intercity rail program to play a key role in meeting current and future intercity travel demand. Capacity improvements in the San Diego portion of the Pacific Surfliner Corridor are an important component of the plan. The 2030 Regional Transportation Plan for San Diego identifies an improved LOSSAN Rail Corridor as a major transportation goal. This plan calls for double tracking, bridge replacements and station improvements such as additional track that will be needed in order to provide additional passenger rail service as an alternative to driving the busy Interstate 5 corridor. These projects will construct 5.4 miles of new second track that is necessary for long-term service expansions, improves track and signals, and replaces single track bridges with double tracked structures.

In 2007, Caltrans and the Federal Railroad Administration certified a PEIR/EIS for the Los Angeles to San Diego segment of the Pacific Surfliner corridor. Over the next 20 years, Southern California is projected to grow by 3.4 million residents. This translates into growth of intercity travel by 24 percent. According to the Purpose and Need for improvements in the corridor, the region's existing transportation network of rail, highway, and air services is currently operating at or near its design capacity, and building additional capacity is both expensive and increasingly problematic. These projects are components of a comprehensive vision for the rail corridor in order to meet future intercity travel needs.

In July 2009, SANDAG, NCTD, BNSF Railway, Caltrans, and Amtrak completed a prioritization study of more than 40 projects along San Diego's 60-mile segment of the corridor. These projects were necessary for long-term service expansion according to this analysis.

California Senate Bill 1703 (2002) consolidated transit capital project construction in San Diego County with SANDAG, including responsibilities for capital improvements along the San Diego segment of the rail corridor. SANDAG completes these projects in close coordination with the rail owners and operators of the corridor.

(2) Scope of Activities. Clearly describe the scope of the proposed PE/NEPA activities and identify the general objective and key deliverables.

(2a) General Objective. Provide a general description of the PE/NEPA work to be accomplished through this grant, including PE/NEPA activities, the underlying project study area, and other parties involved. Describe the end-state of the project, how it will address the need identified in Background (above), and the outcomes that will be achieved as a result of these PE/NEPA activities and underlying project.

This project completes preliminary engineering, including conceptual design and environmental constraints analysis, on capacity improvements to the Pacific Surfliner corridor in the Cities of Carlsbad, Encinitas, and San Diego, California. Together, these projects construct 5.4 miles of double track and are necessary for long-term service improvements for intercity passenger trains serving San Diego County. This project will have travel time savings and on-time performance benefits for all rail services including Pacific Surfliner trains, and will help alleviate residual train delays in the respective areas. The proposed improvements connect two existing sections of double track resulting in longer stretches of double track that alleviate meets and stops. Work will be completed on publicly-owned railroad rights of way, owned either by NCTD or MTS.

(2b) **Description of Work.** Provide a detailed description of the specific tasks to be accomplished through this grant in a logical sequence that would lead to the anticipated outcomes and the end state of the activities.

This project will complete Preliminary Engineering and Project-level Environmental Documentation for capacity enhancement projects that are necessary for long-term intercity service expansion in San Diego County. This work will be accomplished in the following tasks:

Task 1 - Develop a detailed workplan and schedule outlining the detailed tasks and schedule to accomplish the work.

Task 2 - This work will be closely coordinated with MTS, NCTD, Amtrak, BNSF, Metrolink, FRA, and Cities. The public will have an opportunity to comment on this project.

Task 2 - Complete Preliminary Engineering including updated Project Study Report, updated Conceptual Engineering Designs and Drawings for double tracking, bridge replacement, and platform, and detailed cost estimates.

Task 3 - Complete environmental constraints analysis for each project.

(2c) **Deliverables.** Provide FRA with a list of the deliverables in the table below. List the deliverables, both interim and final, that are the outcomes of the project tasks. This should include a first deliverable 1 – Detailed PE/NEPA Workplan and Schedule. Add rows to the table as necessary.

	Deliverable	Task
1	Detailed PE/NEPA Workplan and Schedule (Required)	1
2	Stakeholder Outreach Plan	2
3	Detailed and complete preliminary engineering documents including PSR, Conceptual Engineering Designs and Drawings.	3
4	Detailed environmental documentation	4
5		

(3) Project Schedule. In the table below, list all tasks and estimate the approximate duration for completing each task identified above in Deliverables. For example, "6 months after start date the first task or interim deliverable will be complete." Add rows to the table as necessary.

	Task	Task Duration
1	Workplan	Within 3 months after start date
2	Outreach	Stakeholder meetings and outreach ongoing through life of project
3	Preliminary Engineering	Within 12 months from workplan adoption
4	Environmental Constraints	Within 12 months from workplan adoption

(4) Project Cost Estimate/Budget. Provide an overall cost summary, by phase, of PE/NEPA activity in this section, using Appendix 3 of the NOFA. Ensure that the information below corresponds to the list of tasks provided above. The figures in this section of the Statement of Work should match exactly with the funding amounts requested in the SF-424 and in Section C of this application. If there is any discrepancy between the Federal funding amount requested in this section, the SF-424 form, or Section C of this application, the lesser amount will be considered as the Federal funding request. Round to the nearest whole dollar when estimating costs.

The total estimated PE/NEPA activities cost is provided below, for which the FRA grant will contribute no more than the Federal funding request amount indicated. Any additional expense required beyond that provided in this grant to complete the PE/NEPA activities shall be borne by the Grantee.

PE/NEPA Activities Overall Cost Summary		
#	Task	Cost in FY 2011 Dollars
1	Workplan	$ 50,000
2	Outreach	$ 10,000
3	Preliminary Engineering	$ 300,000
4	Environmental Documentation	$ 240,000
	Total PE/NEPA activities cost	$ 600,000

Federal/Non-Federal Funding			
		Cost in FY 2011 Dollars	Percentage of Total Activities Cost
	Federal funding request	$ 400,000	66.7 %
	Non-Federal match amount	$ 200,000	33.3 %
	Total PE/NEPA activities cost	$ 600,000	100.0 %

G. Optional Supporting Information

Provide a response to the following questions, as necessary, for the proposed PE/NEPA activities.

(1) Please provide any additional information, comments, or clarifications and indicate the section and question number that you are addressing (e.g., Section E, Question 3). Completing this question is optional.

Section D, Question 2 - Travel Time provided is between Los Angeles and San Diego.

(2) Please provide a document title, filename, and description for all optional supporting documents. Ensure that these documents are uploaded to GrantSolutions.gov or that an active link is provided with your application and use a logical naming convention.

Document Title	Filename	Description and Purpose
San Diego LOSSAN Corridor Project Prioritization Analysis, July 2009.	LOSSAN San Diego Rail Prioritization Report and Analysis.pdf	This study analyzed 40 individual rail projects along the San Diego Pacific Surfliner corridor and, through detailed operations modeling and planning, prioritize these investments in order to meet approved service expansions for intercity, commuter, and freight rail services.
CA-PAC SURF- PSRs Project Map	CA-Pac Surf-PSRs Map.pdf	Project map
NCTD/Amtrak Stakeholder Agreement	NCTD Amtrak Intercity Agreement Complete.pdf	Operating Agreement
NCTD/BNSF Stakeholder Agreement	NCTD BNSF Agreement Complete.pdf	Operating Agreement
Non-Construction Budget Detail and Narrative	Budget Detail.pdf	Budget detail and narrative
California Senate Bill 1703	CA SB 1703 Chaptered .pdf	SANDAG Construction Authority documentation
SCRRA-NCTD Dispatch Agreement	SCRRA - NCTD Dispatch Agmt.pdf	Dispatching Agreement
SANDAG Letter of Support	SANDAG Ltr of Support for FY10 HSIPR.pdf	Letter of Support
NCTD Letter of Support	NCTD Ltr of Support for FY10 HSIPR Grants.pdf	Letter of Support
LOSSAN Letter of Support	LOSSAN Ltr of Support for FY10 HSIPR Grants.pdf	Letter of Support
CA Division of Rail Project Management Plan	Project Management Plan_2010.pdf	Grantee PMP
State of California, Comprehensive Annual Financial Report for the fiscal year ending June 30, 2009	Annual Financial Report 2009 SCO.pdf	Contrains State of California Comprehensive Annual Financial Report

Deputy Directive No. DD-25-R1, Title: Local Development--Intergovernmental Review (LD-IGR)	DD-25-R1_final.pdf	Caltrans works with local jurisdictions early and through their land use planning and decision-making
State of California, Dept of Transportation, Intercity Rail Passenger Facility Contract	IC Rail Contract - Boilerplate.pdf	Contains contract funding, project description, payment, report and records, general provisions, bond provisions, approvals, and resolutions.
2010 State Transportation Improvement Program Fund Estimate	PDF Final 2010 STIP.pdf	2010 STIP estimate of all resources available for the State's transportation infrastructure over the next five-year period.
Business, Transportation, Housing Agency Budget	Financial BT&H 2009-10 Budget.pdf	Financial 2009-2010 Budget
Summary of Financial Plan Information	Financial Plan Summary.pdf	Listing two sources for financial plan information
U.S. Department of Transportation, FRA	FRA Assurances Signed.pdf	Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying
California State Rail Plan 2007-2008 to 2017-2018	State Rail Plan.pdf	State rail plan
San Diego TransNet Program	SANDAG TransNet Local Sales Tax Plan of Finance. pdf	San Diego Regional Transportation Sales Tax Program, TransNet

H. Checklist of Application Materials

Use this section to determine the thoroughness of your PE/NEPA application prior to submission.

Documents	Format
1. Application Form	
☒ HSIPR Individual Project Application Form – PE/NEPA (this form)	Form
2. OMB Standard Forms	
☒ SF 424: Application for Federal Assistance	Form
☒ SF 424A: Budget Information-Non Construction	Form
☒ SF 424B: Assurances-Non Construction	Form
3. FRA Assurances Document	
☒ FRA Assurances Document (See Section 4.2.4 of the NOFA)	Form
4. Project Development Supporting Documentation	
☒ Project Planning Documentation (See Section 4.2.5 of the NOFA)	No Specified Format
5. Project Delivery Supporting Documentation	
☒ Project Management Documentation (See Section 4.2.6 of the NOFA)	No Specified Format
☒ Financial Planning Documentation (See Section 4.2.6 of the NOFA)	No Specified Format
☒ Railroad and Project Sponsor Agreements (See Section 4.2.6 of the NOFA)	No Specified Format
6. Optional Supporting Documentation	
☒ Other Relevant and Available Documentation (See Section 4.2.7 of the NOFA)	n/a
☐ Eligibility Documentation (See Section 3.2 of the NOFA)	n/a

PRA Public Protection Statement: Public reporting burden for this information collection is estimated to average 32 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. According to the Paperwork Reduction Act of 1995, a Federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with, a collection of information unless it displays a currently valid OMB control number. The valid OMB control number for this information collection is **2130-0583**.

Individual PE/NEPA Activities Application Form

High-Speed Intercity Passenger Rail (HSIPR) Program

Applicants interested in applying for funding of Preliminary Engineering (PE)/National Environmental Protection Act (NEPA) activities under the FY10 Individual Project solicitation are required to submit this application form and other required documents as outlined in Section H of this application. List and describe any supporting documentation submitted in Section G. Applicants should reference the FY10 Individual Projects Notice of Funding Availability (NOFA) for more specific information about application requirements. If you have questions about the HSIPR Program or this application, please contact the Federal Railroad Administration (FRA) at HSIPR@dot.gov.

Applicants must use this form by entering the required information in the gray narrative fields, check boxes, or drop-down menus. Submit this completed form, along with any supporting documentation, electronically by uploading them to GrantSolutions.gov by 5:00 p.m. EDT on August 6, 2010.

A. Point of Contact and Applicant Information

Applicant should ensure that the information provided in this section matches the information provided on the SF-424 forms.

<table>
<tr><td colspan="3">(1) Name the submitting agency:
California Department of Transportation
Division of Rail</td><td colspan="3">Provide the submitting agency Authorized Representative name and title.:
William D. Bronte
Chief, Division of Rail</td></tr>
<tr><td>Street Address:
1120 N. Street
P.O. Box 942874-MS 74</td><td>City:
Sacramento</td><td>State:
CA</td><td>Zip Code:
95814</td><td colspan="2">Authorized Representative telephone:
916-654-6542
Authorized Representative email:
bill_bronte@dot.ca.gov</td></tr>
<tr><td colspan="3">Provide the submitting agency Point of Contact (POC) name and title (if different from Authorized Representative):
Lea M. Simpson, Chief
Capital Projects and Operations, South Branch</td><td colspan="3">Submitting agency POC telephone: 916-654-7184
Submitting agency POC email: lea_simpson@dot.ca.gov</td></tr>
<tr><td colspan="6">(2) List the name(s) of additional state(s) applying (if applicable):</td></tr>
</table>

B. Eligibility Information

Complete the following section to demonstrate satisfaction of applicant eligibility requirements.

(1) Select the appropriate box from the list below to identify applicant type. Applicant type is defined in Section 3.1 of the NOFA.

- ☒ State
- ☐ Group of States
- ☐ Amtrak
- ☐ Amtrak in cooperation with one or more States

If selecting one of the types below, additional documentation is required. Please select the appropriate box to establish applicant eligibility as described in Section 3.2 of the NOFA and list the supporting document in Section G.2 of this application.

- ☐ Interstate Compact
- ☐ Public Agency established by one or more States

(2) Indicate the planning processes used to identify the underlying project.[1] As defined in Section 3.5.1 of the NOFA, the process should analyze the investment needs and service objectives of the service that the underlying project is intended to benefit. The appropriate planning document must be listed in Section G.2 of this application.

- ☒ State Rail Plan
- ☒ Service Development Plan (SDP)
- ☐ Service Improvement Plan (SIP)
- ☐ Statewide Transportation Improvement Plan (STIP)
- ☒ Other, please list this document in Section G.2 with "Other Appropriate Planning Document" as the title
- ☐ The underlying project is not included in a relevant and documented planning process

[1] PE/NEPA activities include the specific tasks necessary to complete PE/NEPA documentation and other tasks applied for in this application that relate to this phase of the underlying project's development. The underlying project is the larger area and/or infrastructure that will be become the Final Design (FD)/Construction project following completion of the PE/NEPA activities.

C. PE/NEPA Activities Summary

Identify the title, location, and other information of your proposed PE/NEPA work by completing this section.

(1) Provide a clear, concise, and descriptive project name. Use identifiers such as state abbreviations, major cities, infrastructure, and tasks of the underlying project (e.g., "DC-Capital City to Dry Lake Track Improvements").

CA-PAC SURF CP- Raymer/Bernson

(2) Indicate the anticipated funding level for the PE/NEPA activities below. This information must match the SF-424 forms, and dollar figures must be rounded to the nearest whole dollar. When the non-Federal match percentage is calculated, it must meet or exceed 20 percent of the total project cost.

Federal Funding Request	Non-Federal Match Amount	Total PE/NEPA Activities Cost	Non-Federal Match Percentage of Total Activities Cost
$ 1,564,000	**$** 391,000	**$** 1,955,000	20 **%**

(3) Indicate the activity(ies) for which you are applying. Check all that apply.

☒ Preliminary Engineering ☒ Project NEPA[2]

(4) Indicate the anticipated duration, in months, for these PE/NEPA activities (e.g., 36).

Number of Months: *6*

(5) List the name of the corridor where the underlying project is located.

Pacific Surfliner Corridor

(6) Describe the underlying project location, using municipal names, mileposts, control points, or other identifiable features such as longitude and latitude coordinates. If available, please provide a project GIS .shp file as supporting documentation. This document must be listed in Section G.2 of this application.

The project extends for approximately six miles along the Pacific Surfliner Corridor through the San Fernando Valley, Los Angeles County, California, beginning near Woodley Avenue Overpass at Control Point (CP) Raymer, milepost 453.1 and extending through Northridge to CP De Soto, milepost 446.8. The project also includes remedial work for the Northridge and Chatsworth Stations. This segment of the line is also callled the Ventura Line. For location map see section G.2.

(7) Provide a project abstract outlining the proposed PE/NEPA activities. Summarize the project narratives provided in the Statement of Work in 4-6 sentences. Capture the major milestones and outcomes of PE/NEPA activities and the anticipated benefits that will result from the completion of the underlying project.

The Double Track Raymer to Bernson project will upgrade the rail corridor from a single track to a double track, installing concrete ties on both tracks. In addition this project will install: four new special trackwork turnouts, nine at-grade crossings, four bridges, a new second platform at Northridge, new pedestrian underpasses, new fencing and new pedestrian crossings at Chatsworth. Other inhancements include signal relocation, utility relocation and drainage improvements.

The single-track section between CP De Soto and CP Woodman is a bottleneck with Amtrak and Metrolink passenger service. There are numerous occasions throughout the day where trains get held up at CP De Soto, CP Raymer and CP Woodman to meet and

[2] Project NEPA documentation is required for the specific design alternative identified through Preliminary Engineering and related activities. Project NEPA documentation may also be referred to as site-specific NEPA or Tier II NEPA documentation.

pass other trains from the opposite direction.

The Raymer to Bernson Project and the Van Nuys North Platform project are less than two miles apart; due to their proximity, there is a mutually beneficial economy to funding both projects simultaneously.

(8) Indicate the source, amount, and percentage of matching funds for the PE/NEPA activities. The sum of the figures below should equal the amount provided in Section C.2. Click on the prepopulated fields to select the appropriate responses from the lists provided in type of source, status of funding, and type of funds. Dollar figures must be rounded to the nearest whole dollar. Identify supporting documentation that will allow FRA to verify the funding source, and list it in Section G.2 of this application.

Non-Federal Funding Sources	New or Existing Source?	Status of Funding[3]	Type of Funds	Dollar Amount	% of Total Project Cost	Describe Any Supporting Documentation to Help FRA Verify Funding Source
Measure R Funds	New	Planned	Cash	$ 391,000	20 %	copy of the ordinance
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
Sum of Non-Federal Funding Sources				$ 391,000	20 %	N/A

[3] Reference Notes: The following categories and definitions are applied to funding sources:

Committed: Committed sources are programmed capital funds that have all the necessary approvals (e.g., statutory authority) to be used to fund the proposed project without any additional action. These capital funds have been formally programmed in the State Rail Plan and/or any related local, regional, or state capital investment program or appropriation guidance. Examples include dedicated or approved tax revenues, state capital grants that have been approved by all required legislative bodies, cash reserves that have been dedicated to the proposed project, and additional debt capacity that requires no further approvals and has been dedicated by the sponsoring agency to the proposed project.

Budgeted: This category is for funds that have been budgeted and/or programmed for use on the proposed project but remain uncommitted (i.e., the funds have not yet received statutory approval). Examples include debt financing in an agency-adopted capital investment program that has yet to be committed in the near future. Funds will be classified as budgeted when available funding cannot be committed until the grant is executed or due to the local practices outside of the project sponsors control (e.g., the project development schedule extends beyond the State Rail Program period).

Planned: This category is for funds that are identified and have a reasonable chance of being committed, but are neither committed, nor budgeted (e.g., proposed sources that require a scheduled referendum, requests for state/local capital grants, and proposed debt financing that has not yet been adopted in the agency's capital investment program).

D. Underlying Project Overview

Answer the following questions about the underlying construction project that is the subject of the PE/NEPA application.

(1) Indicate the expected service outcomes of the underlying project.[4] Check all that apply.

- ☒ Additional service frequencies
- ☒ Service quality improvements
- ☒ Increased average speeds/shorter trip times
- ☒ Improved operational reliability on existing route
- ☒ Improved on-time performance on existing route
- ☐ Other (please describe)

Briefly clarify your response(s), if needed:

The Double Track Raymer to Bernson will improve travel times for intercity passengers traveling to and from Los Angeles Union Station, the hub of the High Speed Rail network. It will also generate cross-modal benefits to the corridor's commuter and freight rail services. The program also will improve operational reliability and allow for future additional passenger service, such as from Chatsworth to the Burbank Airport, consistent with the state's intercity passenger rail improvement goals.

Track capacity improvements in the Pacific Surfliner Corridor are State priorities outlined in the California State Rail Plan, the Service Development Plan (2009) and the LOSSAN-North Strategic Business Plan (2007). The Double Track Raymer to Bernson project falls within that portion of the Pacific Surfliner Corridor. Also, the Strategic Business Plan documents the purpose and need and outlines a schedule for improvements to the coastal rail corridor. Current capacity is inadequate to meet the projected increases in service demand - both passenger and freight. Travel time is an important factor of mode of choice. Our goal is to reduce total travel by as much as 25 percent along the corridor. This travel time enhancement program when complete, will have measurable benefits for travel times, reliability, and on-time performance for intercity trains.

Currently the six-mile segment from the vicinity of the 405 Freeway to Chatsworth is a single track. Amtrak, Metrolink and UP Freight trains must constrain their movements through this single track in both directions. The present daily schedule for Amtrak is 11 inter-city trains, Metrolink 18 commuter and UP 7 freight trains. When one or more trains becomes late, the absence of the second track greatly impairs the ability of train dispatchers to adjust train movements and recover to normal operation. By 2020, the improvements will allow for a proposed increase in the daily passenger service to 50 trains.

The original design of the Northridge station platform was strictly for peak hour service into Los Angeles in the morning and out in the evening. Therefore this station currently functions in only one direction at a time, with only one platform and one track for all three train movements: intercity, commuter and freight, both inbound and outbound. In order to maintain a reliable and dependable schedule for Amtrak passengers, the Northridge station will require a center platform. Without this new platform for commuter traffic, there will continue to be a bottleneck along the Pacific Surfliner Corridor.

When picking up and dropping off passengers, Metrolink commuter trains (18 per day) will continue to cross over to access the same single platform edge on the inbound track, negating some of the benefits of the new double tracking. In order for the intercity and commuter systems to evolve into a provider of mid-day, evening and reverse peak hour travel, the Northridge central platform has been included in this project. Without it, Amtrak trains will be delayed, especially with additional service frequencies. In addtion, the Northridge center platform will help improve service quality, increase average speeds and provide greater access to High Speed Rail at Union Station.

The Preliminary Engineering Study will determine the required structural modifications and track alignment along the existing route to provide for double tracking and a central platform at Northridge that will improve operational reliability and on-time performance for all trains.

The Double Track Raymer to Bernson project will help meet the Southern California region's transportation demands of today, as well as help to address the expected increase in intercity travel rising out of the development of the High Speed Rail system.

[4] The underlying project is the larger area and/or infrastructure that will be become the FD/Construction project following completion of the PE/NEPA activities.

(2) Quantify the applicable service outcomes of the underlying project. Provide the current conditions and anticipated service outcomes. Future state information is necessary only for relevant service benefits.

	Frequencies[5]	**Scheduled Trip Time** (in minutes)	**Average Speed** (mph)	**Top Speed** (mph)	**Reliability –** Provide Either On-Time Performance Percentage or Delay Minutes
Current	**28**	**162**	**47**	**79**	**75**
Future	**50**	**120**	**49**	**90**	**85**

(3) Indicate the type of expected capital investments included in the underlying project. Check all that apply.

- ☒ Structures (bridges, tunnels, etc.)
- ☒ Track rehabilitation and construction
- ☒ Major interlockings
- ☒ Station(s)
- ☒ Communication, signaling, and control
- ☐ Rolling stock refurbishments
- ☐ Rolling stock acquisition
- ☐ Support facilities (yards, shops, administrative buildings)
- ☒ Grade crossing improvements
- ☐ Electric traction
- ☒ Other (please describe) **utility relocation, new fencing and right of way acquisition**

(4) Select and describe the operational independence of the underlying project.[6]

☒ This project is operationally independent. ☐ This project is not operationally independent.

Briefly clarify your response:

The Double Track Raymer to Bernson project will be operationally independent because once completed, there will be continuous double track from Chatsworth to LA Union Station. The project will include the installation of approximately six miles of new track with concrete ties and relocate the exisiting track. Additionally, higher speed crossovers will be installed, new grade crossings and bridges, signal and communication improvements, relocation of utilities, safety improvements. The completed project will allow the Caltrans supported Pacific Surfliner services to increase, allow for additional intercity and commuter trains and support peak freight train levels on this portion of the corridor.

Currently the Northridge Station utilizes a single platform on the south side of the station. All trains must crossover to the southside track to dislodge or pick up passengers. At present there are 11 Amtrak and 18 Metrolink trains stopping daily. The Northridge Station area will benefit from the preliminary engineering study by outlining the required structural and track modifications necessary to reduce the dwell times, increase the capacity of the station platform, promote the accesibilty and safety of the station and improve operational reliability and on-time performance along the exisiting route.

The Chatsworth Station will be modified to include:

Additional rail improvements include the installation of six miles of new track with concrete ties, installation of concrete ties on the exisiting track, higher speed crossovers, new grade crossings and bridges, signal and communication improvements, relocation of utilities and safety improvements. The completed project will allow the Caltrans supported Pacific Surfliner services to increase, allow for additional commuter trains and support peak freight train levels on this portion of the corridor.

Amtrak shares this corridor with Metrolink commuter services and freight services operated by Union Pacific, which will also benefit from these improvements. This key segment of the Pacific Surfliner Corridor will provide important feeder services to the HST network into Union Station. The right of way in the project areas is a mix of private (Union Pacific) and public (Ventura County Transportation Commission and Los Angeles County Metropolitan Transportation Authority). Amtrak has trackage rights to the corridor through master agreements with these corridor owners.

[5] Frequency is measured in daily one-way train operations. One daily round-trip operation should be counted as two daily one-way train operations.

[6] A project is considered to have operational independence if, upon being implemented, it will provide tangible and measurable benefits, even if no additional investments in the same service are made.

Specific projects within this program are:

(1) the construction of 39,000 linear feet of second track that would allow for double tracking to extend from Chatsworth to the Burbank Junction, adjacent to the Burbank Airport. Installation will include concrete ties.

(2) mainline track relocation and the installation of concrete ties.

(3) reconstruction of nine at-grade crossings with pedestrian improvements.

(3) the construction of four new bridges increasing the current widths to accommodate two tracks.

(4) the replacement of the exisiting one-sided platform at Northridge with an 850 foot long, thirty foot wide central platform that would accommodate double tracking. The new platform would meet ADA requirements utilizing underground ramps and elevators to allow passengers to disloge from the trains from both tracks and to access the station and parking lot without crossing the tracks.

(5) improved pedestrian crossings at Chatsworth Station.

(6) installation of four automatic No. 20 turnouts.

(7) relocation of utilities, drainage improvements and new fencing.

(8) relocation and modifications of signal communications housing equipment.

(9) relay rail improvements.

(10) acquisition of property rights.

(11) construction of mitigation measures.

(5) Provide Right-of-Way ownership in the underlying project area. Where railroads currently share ownership, identify the primary owner. If Amtrak is the Type of Railroad, the Right-of-Way Owner field does not need to be completed. Click on the prepopulated fields to select the appropriate response from the lists of railroad types and status of agreements. If more than five owners, please provide the same information in a separate supporting document, and list it in Section G.2 of this application.

Type of Railroad	Right-of-Way Owner	Route-Miles	Track-Miles	Status of Agreements to Implement
Class 1 Freight	Union Pacific	1	1	Master Agreement in Place
Commuter Railroad or Authority	LACMTA	1	1	Master Agreement in Place
Amtrak				Master Agreement in Place
Amtrak				Master Agreement in Place
Amtrak				Master Agreement in Place

(6) Name the Intercity Passenger Rail Operator and provide the status of the agreement. If applicable, provide the status of the agreement with the partner that will operate the planned passenger rail service (e.g., Amtrak). Click on the prepopulated field to select the appropriate response from the status of agreement list.

Name of Rail Service Operator	Status of Agreement
Amtrak	Partner consulted, awaiting support commitment

(7) Identify the types of services affected by the underlying project and provide information about the existing rail services within the underlying project boundaries (e.g., freight, commuter, and intercity passenger). Click on the prepopulated fields to select the appropriate response from the list of types of service.

Type of Service	Name of Operator	Top Existing Speeds Within Underlying Project Boundaries		Number of Route-Miles Within Underlying Project Boundaries	Average Number of Daily One-Way Train Operations[7] Within Underlying Project Boundaries	Notes
		Passenger	Freight			
Intercity Pa	Amtrak	40	0	6	11	
Commuter	SCRRA/Metrolink	40	0	6	18	
Freight	Union Pacific	0	40	6	7	
Freight						
Freight						
Freight						

[7] One daily round-trip operation should be counted as two daily one-way train operations.

(8) Estimate the share of benefits that will be realized by nonintercity passenger rail service (e.g., commuter, freight) and select the approximate cost share to be paid by the beneficiary.[8] Click on the prepopulated fields to select the appropriate response from the lists of type of beneficiary, anticipated share of benefits, and approximate cost share. If more than three types of nonintercity passenger rail are beneficiaries, please provide additional information in a separate supporting document, and list in Section G.2 of this application.

Type of Nonintercity Passenger Rail	Expected Share of Benefits	Approximate Cost Share
Commuter	Less than 50%	0-25%
Freight	Less than 50%	0-25%
Freight	Less than 50%	0-25%

[8] Benefits include service improvements such as increased speed, on-time performance, improved reliability, and other service quality improvements.

E. Additional Response to Evaluation Criteria

Provide a separate response to each of the following categories of potential benefits to identify the ways in which the proposed PE/NEPA activities and underlying project will achieve these benefits.[9]

(1a) Transportation Benefits

Describe the ways in which the proposed PE/NEPA activities or underlying corridor program will address the potential of successfully executing these transportation benefits in a cost-effective manner:

- Supporting the development of intercity high-speed rail service;
- Generating improvements to existing high-speed and intercity passenger rail service, as reflected by estimated increases in ridership (as measured in passenger-miles), increases in operational reliability (as measured in reductions in delays), reductions in trip times, additional service frequencies to meet anticipated or existing demand, and other related factors;
- Generating cross-modal benefits, including anticipated favorable impacts on air or highway traffic congestion, capacity, or safety, and cost avoidance or deferral of planned investments in aviation and highway systems;
- Creating an integrated high-speed and intercity passenger rail network, including integration with existing intercity passenger rail services, allowance for and support of future network expansion, and promotion of technical interoperability and standardization (including standardizing operations, equipment, and signaling);
- Encouragement of intermodal connectivity and integration through provision of direct, efficient transfers among intercity transportation and local transit networks at train stations, including connections at airports, bus terminals, subway stations, ferry ports, and other modes of transportation;
- Enhancing intercity travel options;
- Ensuring a state of good repair of key intercity passenger rail assets;
- Promoting standardized rolling stock, signaling, communications, and power equipment;
- Improved freight or commuter rail operations, in relation to proportional cost-sharing (including donated property) by those other benefiting rail users;
- Equitable financial participation in the project's financing, including, but not limited to, consideration of donated property interests or services; financial contributions by freight and commuter rail carriers commensurate with the benefit expected to their operations; and financial commitments from host railroads, non-Federal governmental entities, nongovernmental entities, and others;
- Encouragement of the implementation of positive train control (PTC) technologies (with the understanding that 49 U.S.C. 20147 requires all Class I railroads and entities that provide regularly scheduled intercity or commuter rail passenger services to fully institute interoperable PTC systems by December 31, 2015); and
- Incorporating private investment in the financing of capital projects or service operations.

The completion of the Double Track Raymer to Bernson project will enhance the network of intercity trains to the High Speed Rail network hub at Los Angeles Union Station (LAUS). This improvement on the Pacific Surfliner Corridor will build upon an already strong intercity passenger rail network that includes connections to local bus and/or rail service at nearly every station. In addition, the passenger rail service on the corridor will act as an important feeder to the statewide High Speed Rail network through connections at LAUS. When the High Speed trains enter revenue service, both Amtrak Pacific Surfliner and commuter services will feed into the statewide system, allowing communities not along the statewide High Speed Rail corridor to be connected to the service.

The Double Track Raymer to Bernson project will make improvements in all these areas, and will make rail travel a more attractive transportation alternative in the corridor.

Operational reliability will increase from 75% to 85% on time performance. Additional daily service frequencies will increase from 10 Amtrak and 18 Metrolink trains per day to 50 trains per day by 2020.

Reliability refers to the ability for trains to run according to their schedules. Having sections of single-track and

[9] PE/NEPA activities include the specific tasks necessary to complete PE/NEPA documentation and other tasks applied for in this application that relate to this phase of the underlying project. The underlying project is the larger area and/or infrastructure that will be become the FD/Construction project following completion of the PE/NEPA activities.

limited opportunities for trains to safely pass each other has an impact on reliability. Trains are scheduled to arrive at sidings or stations at a particular time (called a "meet"). Given the volume of trains on the corridor, any delay in trains arriving at their scheduled "meets" has a ripple effect on other trains along the Pacific Surfliner Corridor. Improving track, signal and switch conditions where needed will increase reliability and reduce delays. Reliability of service will increase and instill in the passengers a greater sense that their train will arrive and depart as scheduled.

This project improvement to the Pacific Surfliner Corridor will increase capacity, reduce travel time and provide for better utilization of trainsets and crew, thus reducing operating expenses. Reduced travel time will increase ridership and result in increased farebox recovery ratios. The Department's funds available to support rail services will be better utilized.

These operational benefits to the Pacific Surfliner Corridor will be shared with freight trains operated by the Union Pacific. The corridor is also utilized by Metrolink commuter trains, which will also benefit from the improved reliability and on-time performance, reduced travel time, and enhanced safety.

The Double Track Raymer to Bernson project will build upon an intercity passenger rail network that has strong existing connections to local and express bus services, plus LACMTA's urban rail system. The Chatsworth Station is a main transit center for the west San Fernando Valley. The Metro Orange Line, a dedicated busway that feeds to the Metro Red Line Subway in North Hollywood, is being extended to serve the Chatsworth Station. At Chatsworth Station, there is also an 18 mile long bike path. There are major bus connections, plus a child care center on site.

Enhancing the Pacific Surfliner Corridor from Chatsworth to the Van Nuys Station will have strong cross modal benefits. At Van Nuys Station, there are many transportation connections, including Amtrak Thruway buses, LAX Flyaway service, Metro Rapid Bus along Van Nuys Boulevard, and a local DASH service that serves the Van Nuys Civic Center area. The next stop along the Pacific Surfliner Corridor is Burbank Airport Station, which serves many travelers, especially those going between northern and southern California. At Glendale station there is an extensive local bus feeder network operated by Glendale Beeline which serves downtown Glendale, a major employment center. The Pacific Surfliner Corridor terminus at LAUS is utilized by 80,000 transit riders per weekday on LACMTA's urban rail system; the Red Line to Hollywood, the Purple Line to mid Wilshire, the Gold Line to Pasadena and Gold Line to East LA.

Improvements that increase capacity, reduce travel time, and improve reliability help maintain and attract ridership on the service. Additional ridership maximizes the cost-effectiveness of the State's investment by reducing operating subsidies, allowing funds to be used on other rail improvements or to expand service and avoid or defer planned investments in aviation or highway systems, such as Interstate 5.

This project would make improvements in all these areas, and would make rail travel a more attractive transportation alternative in the corridor.

(1b) Other Public Benefits

Demonstrate the potential of the proposed PE/NEPA activities or underlying project to achieve other public benefits in a cost-effective manner:

- Environmental quality and energy efficiency and reduction in dependence on foreign oil, including use of renewable energy sources, energy savings from traffic diversions from other modes, employment of green building and manufacturing methods, reductions in key emissions types, and the purchase and use of environmentally sensitive, fuel-efficient, and cost-effective passenger rail equipment;
- Promoting interconnected livable communities, including complementing local or state efforts to concentrate higher-density, mixed-use, development in areas proximate to multi-modal transportation options (including intercity passenger rail stations);
- Improving historic transportation facilities; and
- Creating jobs and stimulating the economy. Although this solicitation is not funded by the American Recovery and Reinvestment Act of 2009 (Public Law 111-5), these goals remain a top priority of this Administration. Therefore, Individual Project applications will be evaluated on the extent to which the project is expected to quickly create and preserve jobs and stimulate rapid increases in economic activity, particularly jobs and activity that benefit economically

distressed areas, as defined by section 301 of the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. 3161) ("Economically Distressed Areas").

The goal and benefit of this program, and others that promote intercity rail is the reduction of single-occupant motor vehicle travel and the resulting air quality, congestion, petroleum consumption, and safety impacts/costs of this travel. This project will contribute to that goal by offering fast and reliable intercity passenger rail transportation, to attract travelers from single-occupant motor vehicles. Parallel to this project, and 2.5 miles to the north is the State Highway 118, which has 8 lanes total. Parallel to this project, and 4 miles to the south is US Highway 101, which has 10 lanes total. Improvement of the State's transportation infrastructure will improve mobility in the area, which will in turn improve the economy, the environment, and support social equity.

The transportation sector is the State's largest source of greenhouse gases (GHG). Between 2002 and 2004, the transport sector annually accounted for approximately 38 percent of the State's total GHG emissions; the on–road portion alone (as distinguished from aviation, rail and water–borne) represented approximately 36 percent of total GHG emissions. Research shows that both carbon dioxide (CO2) emissions and energy use are reduced when rail travel is compared to the automobile. Recent figures illustrate that on a per passenger basis, train emit 43 pounds of CO2 while cars emit 124 pounds. Energy use per passenger mile is 2,709 British Thermal Units (BTUs) with trains and 3,445 with cars. Data confirms that intercity passenger rail is more fuel-efficient than cars, thus it conserves less fuel and improves air quality. Intercity rail becomes increasingly more efficient as the number of passengers increase per train.

Intercity Passenger Rail supports the "Global Warming Solutions Act" (AB 32, 2006). This landmark bill requires the State's global warming emissions to be reduced to 1990 levels by 2020.

Caltrans preserves California's investment in State-owned rail cars and locomotives through frequent inspections and maintenance cycles. California has the largest fleet of State-owned rail equipment in the country. Rebuilt locomotives now meet EPA clean air standards. Caltrans is also improving the fuel efficiency and emission reduction of its State-owned locomotives. During the past decade, the Environmental Protection Agency instituted a new emission requirement for diesel locomotives. The State owns 17 locomotives (15 EMD F59 and two General Electric [GE] units). All F59 locomotives used in the State-supported rail system, meet the Tier 0 requirements. The F59 locomotives were upgraded to Tier 0 before being required to do so. The two GE locomotives were overhauled in 2008, and brought up to Tier 0 standards. The F59 locomotives will receive Tier 2 engine kits for the main engines at their next overhaul which began in 2008. They will then emit 35 percent less NOx and less than half the particulates than previously allowed in Tier 1 at 25 percent less NOx and 33 percent less particulates than previously allowed in Tier 0. Additionally, the Head End Power (HEP) units on the locomotives, which generate electricity to supply power for lighting and utilities within the passenger cars, are being updated. All F59 locomotives are scheduled to be equipped with Automatic Start Stop (AESS) systems within the next year. This system reduces excessive engine idling resulting in reduced exhaust emissions and fuel savings. To date, five systems have been installed and preliminary analysis show a marked reduction in emissions and increased fuel savings.

By 2030, the Pacific Surfliner Corridor will be home to more than 21 million residents, an increase of nearly 5 million since 2000, pointing to the need for a wide variety of housing choices, more affordability, more accessible public transportation services, more walkability, and a greater mix of land uses. Pacific Surfliner Corridor agencies are improving connections between land use and transportation using smart growth principles. Rail stations serve as central activity centers that are integrated into communities. Examples of improved transit/land use integration and improved multimodal connections in the corridor include:

The Chatsworth Station, currently served by Amtrak intercity trains and Metrolink commuter rail service, will become a major bus/rail transfer point for the region in 2012 with the extension of the Metro Orange Line, a dedicated regional busway. LA Metro operates an on-site child care center. The adjacent regional bikeway will also be extended to provide an 18-mile dedicated east-west bikeway.

Los Angeles Union Station (LAUS) is the intermodal transportation center for the Los Angeles area and includes direct connections between airport flyaway bus, local and commuter bus, Amtrak intercity and long distance trains, Metrolink commuter rail, Metro subway and light rail, and future high speed rail services. Each day, nearly 400 trains depart Union Station and last year, 1.2 million intercity passengers used LAUS.

The Double Track Raymer to Bernson project is expected to create significant near-term economic benefits for the region in which this construction will take place. The rich economic benefits from the project will be driven primarily by an increase in construction spending which will generate a short-term increase in demand for construction services and the labor and materials that supply them. This will in turn stimulate activity in other economic sectors. The net impact of this project will be jobs and wealth created across the regional economy and, to some extent, other regions where materials and goods are produced.

It is projected that the majority of jobs generated by the project would receive compensation above $40,000/year, indicating that the project would generate above average paying jobs that would help stimulate the regional economy.

(2) Project Delivery Approach

Consider the following factors to determine the risk associated with the PE/NEPA activities delivery within budget, on time, and as designed:

- The applicant's financial, legal, and technical capacity to implement the project, including whether the application depends upon receipt of any waiver(s) of Federal railroad safety regulations that have not been obtained;
- The applicant's experience in administering similar grants and projects, including a demonstrated ability to deliver on prior FRA financial assistance programs;
- The soundness and thoroughness of the cost methodologies, assumptions, and estimates for the proposed project;
- The reasonableness of the schedule for project implementation;
- The thoroughness and quality of project management documentation;
- The timing and amount of the project's future noncommitted investments;
- The overall completeness and quality of the application, including the comprehensiveness of its supporting documentation;
- The readiness of the project to be commenced; and
- The timeliness of project completion and the realization of the project's anticipated benefits.

The Ventura Line, which is the right-of-way from Burbank Juntion to Moorpark, along the Pacific Surfliner Corridor, has a shared use agreement between the UP Railroad and LACMTA for the operation of Amtrak, Metrolink/SCRRA and UP trains. The Double Track Raymer to Bernson project is located in this section of right-of-way. LACMTA owns a portion of the trackway and has the legal right to make improvements. LACMTA, thru its membership in the SCRRA Joint Powers Authority, has designated its responsibility to SCRRA to implement this project. The design and construction will be managed by the SCRRA.

The existing agreement with UP Railroad for the design, construction, operation, and maintenance of rail services on the Pacific Surfliner Corridor is attached in G.2 (Shared Use Agreement -- Saugus and Ventura Lines).

The Preliminary Engineering (PE) and NEPA documents will be prepared by the Southern California Regional Rail Authority (SCRRA). SCRRA, is a five county Joint Powers Agency (JPA) formed in 1992. The five county members are: Los Angeles County Metropolitan Transportation Authority (Metro), Orange County Transportation Authority (OCTA), Riverside County Transportation Commission (RCTC), San Bernardino Associated Governments (SANBAG), and Ventura County Transportation Commission (VCTC).

As part of the PE/NEPA, a project NEPA document and other required environmental documentation will be prepared for the specific design alternative identified during PE. It is believed that a Categorical Exclusion (CE) will be sufficient for this project.

SCRRA plans, designs, constructs, operates and maintains regional commuter rail lines, and administers similar grants for projects in the counties of Los Angeles, Orange, Riverside, San Bernardino, and Ventura. The design, operation, and maintenance of the Metrolink System are governed by Federal Railroad Administration (FRA) regulations and California Public Utilities Commission (CPUC) General Orders (GO).

SCRRA utilizes various mechanisms to procure design services for SCRRA infrastructure and facilities. Typically, SCRRA contracts for a General Engineering Consultant (GEC) to provide engineering and design services to the SCRRA. These services may include track, structure, facility, signal, communication, and other specialty services as necessary. SCRRA may elect to utilize site-specific design or design-build contracts for projects that are of sufficient size or speciality.

The project cost estimate will be based on past SCRRA experience with similar projects conducted since the opening of the Metrolink trains in 1992. The project cost estimate captures the full range of capital costs related to the project based on SCRRA's Design Procedures Manual (See G.2). The percent-of-construction cost method is used to calculate cost items and the percentages used are appropriate to the concept level design phase as shown below:

- Construction costs (estimate)
- Contingency on construction
- Design costs
- Project management costs
- Agency costs
- Construction management costs
- Flaggingcosts
- Projectcontingency

The schedule is estimated to be six months for preliminary engineering/NEPA clearance.

SCRRA will be responsible for the following: developing detailed descriptions of services; requesting services; ensuring compliance with contract provisions; monitoring Contractors' progress to ensure work is on schedule, complete, and acceptable; approving products and/or services; reviewing invoices; monitoring expenditures; authorizing payments; requesting timely contract renewals or amendments when necessary; and closing out contracts.

SCRRA has vast experience in managing various sized rail investment projects. SCRRA has project managers in place that are authorized representatives of the State, responsible for the administration of contracts and monitoring/documenting Contractors' performance.

SCRRA will perform overall project management during preliminary engineering design phase for the Double Track Raymer to Bernson project. An engineering consultant selected by SCRRA will carry out the design. SCRRA will select a contractor to perform construction of the improvements and may possibly combine this work with other funded projects thereby achieving economy of scale for both the SCRRA and the contractor. The construction contract will be managed by one of SCRRA's on-call Construction Management consultants, using existing procedures developed by SCRRA under Construction Management Procedures Manual. This Manual includes procedures for design phase (constructability, estimates and schedule of values reviews), contract development phase (contract action, bid package assembly, bid and award), pre-construction phase (site preview and conference) and construction phase (change, cost, schedule, quality assurance/quality control, safety & security, and pay process management).

If SCRRA and its member agency, METRO, identifies an issue that will increase the cost of the project, SCRRA and METRO will identify other funding sources or revise the project scope to achieve the same benefit. Other funding sources available include Measure R and Proposition C sales taxes.

SCRRA could commence work on this project immediately upon notice of funding award.

(3) Project Delivery Approach

Address the likelihood of realizing the proposed project's benefits:

- The quality of financial planning documentation that demonstrates the financial viability of the HSIPR service that will benefit from the project;
- The availability of any required operating financial support, preferably from dedicated funding sources for the benefiting intercity passenger rail service(s);
- The quality and adequacy of project identification and planning;

- The reasonableness of estimates for user and non-user benefits for the project;
- The comprehensiveness and sufficiency, at the time of application, of agreements with key partners (including the railroad operating the intercity passenger rail service and infrastructure-owning railroads) that will be involved in the operation of the benefiting intercity passenger rail service, including the commitment of any affected host-rail carrier to ensure the realization of the anticipated benefits, preferably through a commitment by the affected host-rail carrier(s) to an enforceable on-time performance of passenger trains of 80 percent or greater;
- The favorability of the comparison between the level of anticipated benefits and the amount of Federal funding requested; and
- The applicant's contribution of a cost share greater than the required minimum of 20 percent.

Since 1976, the state of California has invested more than $1 billion in capital improvements on the Pacific Surfliner Corridor, not including investments in new rolling stock The State Public Transportation Account (PTA) has to date been the sole funding source for intercity rail operations and equipment overhaul. State Proposition 116 designated the Account as a trust fund to be used "only" for transportation planning and mass transportation purposes." (Public Utilities Code Section 99310.5). State law designates the funding sources of the PTA, which are primarily sales tax on diesel fuel and a portion of sales tax on gasoline. Public Utilities Code Section 99315 specifies that PTA funds are to be used for intercity rail services. Each year an appropriation is included in the State Budget for intercity rail operations and heavy equipment overhaul (Item 2660-001-0046). In 2009-10 the base budget funding amount for intercity rail operations is $90.3 million and $13.2 million for heavy equipment overhaul. The appropriation level for intercity rail operations becomes the base for the following year's budget.

Each year Los Angeles County Transportation Authority (Metro), Orange County Transportation Authority (OCTA) and Ventura County Transportation Commission (VCTC) and North County Transit District (NCTD) program funding towards Rehabilitation of the rail right-of-way in the Pacific Surfliner Corridor owned by these four public agencies. In 2009-10 they programmed $26 million and in FY 10-11 have programmed $8.7 million in System Preservation expense. Further, the SCRRA and NCTD maintains this rail right-of-way and the operating maintenance expense of $15.5 million in FY 09-10 and $16.0 million in FY 10-11 is funded by the four public agencies.

The analysis shows the farebox ratio on the Pacific Surfliner Corridor is projected to be 67.8 percent in 2017-18.

The Double Track Raymer to Bernson project will not require any additional operating financial support beyond what is already provided by the State.

This project has been identified and recommended for funding in the State Rail Plan, LOSSAN North Corridor Strategic Plan, Service Development Plan (2009) and Project Study Report (see Section G.2).

The Service Development Plan (2009) identifies that the single-track section between CP De Soto and CP Woodman is a bottleneck with Amtrak and Metrolink passenger service. There are numerous occasions throughout the day where trains get held up at CP De Soto, CP Raymer and CP Woodman to meet and pass other trains from the opposite direction. The single track operation at Northridge platform creates conflicts and delays due to this competition over track availability.

The Double Track Raymer to Bernson project and the Van Nuys North Platform project (separate application) are less than two miles apart. Due to their proximity to one another along the Pacific Surfliner Corridor, there is a mutually beneficial economy to funding both projects simultaneously.

Once funded and completed, the goal of having a continguous double track operation from LAUS to Chatsworth will be accomplished.

The Ventura Line, which is the right-of-way from Burbank Juntion to Moorpark, along the Pacific Surfliner Corridor, has a shared use agreement between the UP Railroad and LACMTA for the operation of Amtrak, Metrolink and UP trains. The Double Track Raymer to Bernson project is located in this section of right-of-way and will be used by both Amtrak and Metrolink trains. A letter of support from each agency is attached (see Section G.2). The anticipated benefits include an increased on time performance from 75% currently to 85%.

There are existing agreements with Union Pacific railroad and Amtrak for the design, construction, operation, and maintenance of rail services on the Pacific Surfliner Corridor.

If SCRRA and its member agency, Metro, identifies an issue that will increase the cost of the project, SCRRA and Metro will identify other funding sources or revise the project scope to achieve the same benefit. Other funding sources available include sales tax or other measures.

The work consists of constructing approximately 39,000 linear feet of second main line; main line track relocation, relay rail and drainage improvements; four No. 20 turnouts; construction of a four bridges; Northridge Station existing platform modifications, new second platform and an underpass; Chatsworth Station pedestrian crossing modifications; relocation of utilities; relocation and modifications of signal communications housing equipment; construction of a linear fence; acquisition of property rights; construction of mitigation measures, and reconstruction of nine at-grade railroad crossings.

In most areas, the existing track would remain in its current location and the new track would be installed 15 to 25 feet to the south. In the vicinity of Northridge station, the existing track may be realigned, and the second track installed to the west. In order to accommodate the two tracks, nine grade crossings will be modified to install a new second track. In addition, the crossings will be modified to meet new SCRRA and the California Public Utilities Commission (CPUC) guidelines and requirements related to railroad warning devices and pedestrian treatment.

The attached sketches at the end of this report show the location of the second mainline track on SCRRA track charts.

The design and construction will mostly be confined to existing right-of-way owned by the member agency. As part of the PE/NEPA, a project NEPA document and other required environmental documentation will be prepared for the specific design alternative identified during PE. We believe that a Categorical Exclusion (CE) will be sufficient for this project.

F. Statement of Work

Provide a detailed response for how the PE/NEPA activities will be carried out in the text fields and tables provided. The tables in this section are unlocked; applicants can add rows, as necessary, for additional tasks. If you reference a supporting document, it must be listed in Section G.2.

(1) Background. Briefly describe the events that led to the need for the proposed PE/NEPA activities and the underlying issue the project will address. Also describe the rational planning process used to analyze the investment needs and service objectives of the full corridor on which the individual underlying project and the PE/NEPA activities are located.

The work consists of adding 39,000 linear feet of second main line along the segment of track between the Van Nuys and Chatsworth stations. Completion of this double track gap closure project will result in 48 miles of continuous double track operation along the Pacific Surfliner Corridor in Los Angeles County between Chatswoth and the Orange County Line. The completed double track operation will enhance the opportunity for trains to maintain on time performance, reliability and reduce running times along the Pacific Surfliner Corridor. This will increase ridership and facilate transfers at Los Angeles Union Station to the High Speed Rail network.

The State Rail Plan, the LOSSAN North Corridor Strategic Plan and the Service Development Plan (2009) have each identified the Double Track Raymer to Bernson project as necessary to improve on time performance, reliability and add capacity along the Pacific Surfliner Corridor.

A service objective for the corridor is that the number of intercity and commuter rail daily trains along the Pacific Surfliner Corridor shall increase from 29 at present to 50 by 2020. This cannot happen without various capacity, signal and other improvements, including a continuous double track operation throughout Los Angeles County.

A programatic level EIR/EIS document for the Pacific Surfliner Corridor is currently under devleopment and will be completed by June 2012. Because HSR funds must be obligated within two years of award, and because the program level EIR/EIS is still in progress and PE and environmental clearance has not been initiated, the State cannot seek HSR funds for final design/construction. Howevever, the guidelines allow the State to apply for HSR funds for PE/NEPA clearance.

(2) Scope of Activities. Clearly describe the scope of the proposed PE/NEPA activities and identify the general objective and key deliverables.

(2a) General Objective. Provide a general description of the PE/NEPA work to be accomplished through this grant, including PE/NEPA activities, the underlying project study area, and other parties involved. Describe the end-state of the project, how it will address the need identified in Background (above), and the outcomes that will be achieved as a result of these PE/NEPA activities and underlying project.

The PE and NEPA document design phase will include:

1) description of project objectives and goals based on engineering analysis,

2) identification of all stakeholders and incorporate their inputs towards realizing the project,

3) determination of the constructability and functional feasibility of the project,

4) advancement of the design to a level where potential impacts on the environment, utility lines and drainage can be identified, quantified and solutions can be explored,

5) preparation of preliminary right-of-way requirements maps,

6) identification of initial operating impacts,

7) quantify potential impacts on local traffic circulation and mobility during construction,

8) identify potential adverse environmental impacts that must be mitigated,

9) prepare a preliminary engineer's estimate, including preliminary SCRRA materials list so that procurement coordination may begin and

10) preliminary recommendations on current or new signal and communication technologies.

SCRRA will conduct project field work, and initiate contacts with private and government agencies, individuals and civic groups, and contact utility companies, as required, to ensure that the design job progresses smoothly and to avoid unexpected and costly omissions that would severely impact the project during the latter stages of design.

Deliverables include: Drawings; Specifications, Estimate, and Exhibits, Calculations and Reports.

The Double Track Raymer to Bernson project is located in Northridge/Chatsworth in Los Angeles County, California on the Coast Route approximately between MP453.00 and 446.80. The Route is used by the Amtrak Pacific Surfliner, the Amtrak Coast Starlight, the planned Amtrak Coast Daylight, and freight service operated by Union Pacific Railroad, the track owner. There is currently a six mile stretch of single track that carries 28 passenger and 7 freight trains per day and experiences severe railroad congestion due to the absence of the second main track. The Double Track Raymer to Bernson project will expand capacity by increasing on-time performance, allowing for higher average train speeds, and increased frequency of service.

The Double Track Raymer to Bernson project combined with the Van Nuys North Platform project (separate application) on the Ventura Line will allow additional flexibility of operation along the Pacific Surfliner Corridor beween Los Angeles and Santa Barbara.

Intercity passenger rail services are provided by the National Rail Passenger Corporation (Amtrak) and include: the Pacific Surfliner (with funding support from the State of California) and the Coast Starlight. The Pacific Surfliner service has enjoyed record ridership increases over the past seven years, with over 2.89 million passengers in Fiscal Year 2006 (October 2007 through September 2008), the second-busiest corridor in the nation.

Freight services are operated on the Pacific Surfliner Corridor by the UPRR. Metrolink passenger services are operated by SCRRA.

Stations served near the project are Chatswoth, Northridge, Van Nuys, Burbank Airport and Burbank Downtown.

The need for the project was validated by the RTC (Rail Traffic Controller) simulation model used in the LOSSAN North Railroad Capacity and Performance Analysis. This rail capacity modeling has been a comprehensive and extremely valuable effort, in that it has refined and validated the program of projects contained in the Strategic Plan.

(2b) Description of Work. Provide a detailed description of the specific tasks to be accomplished through this grant in a logical sequence that would lead to the anticipated outcomes and the end state of the activities.

The Preliminary Engineering will commence after the approval of the funding. This phase of design will require about 35% of the overall effort, and on the average the engineering/technical work will be advanced to 35% of final design. The purpose of this design phase is to:

- Describe project objectives and goals based on engineering analysis.
- Identify all stakeholders and incorporate their inputs towards realizing the project.
- Determine the constructability and functional feasibility of the project.
- Advance the design to a level where potential impacts on the environment, utility lines and drainage can be identified, quantified and solutions can be explored.
- Prepare preliminary Right-of-Way requirements maps.
- Identify initial operating impacts.
- Quantify potential impacts on local traffic circulation and mobility during construction.
- Identify potential adverse environmental impacts that must be mitigated.
- Identify possible construction staging and contractor staging areas.
- Prepare a preliminary engineer's estimate, including preliminary SCRRA materials list so that procurement coordination may begin.
- Develop vital and non-vital software logic as needed for applications involved.
- Develop preliminary system-wide communication backbone that may be fiber-optic or communication based.
- Preliminary recommendations on current or new signal and communication technologies.

SCRRA will conduct project field work, and initiate contacts with private and government agencies, individuals, and civic groups, and contact utility companies, as required, to ensure that the design job progresses smoothly and to avoid unexpected and costly omissions that would severely impact the project during the latter stages of design.

Deliverables include: Drawings; Specifications, Estimate, and Exhibits, Calculations and Reports, Report.

(2c) Deliverables. Provide FRA with a list of the deliverables in the table below. List the deliverables, both interim and final, that are the outcomes of the project tasks. This should include a first deliverable 1 – Detailed PE/NEPA Workplan and Schedule. Add rows to the table as necessary.

	Deliverable	Task
1	Drawings	1) Title sheet, including project location; Index of drawings 2) Preliminary typical sections 3) Track plan and profile sheets, including tabular presentation of curve data (track no., curve no., degree of curve, overall length, superelevation, spiral length, passenger speed and unbalance, freight speed) 4) Basemapping, to include Right-of-Way limits, as obtained from railroad Right-of-Way maps or purchase and sale agreements provided by SCRRA, and from parcel maps obtained from the County Assessor's office 5) Cross-sections at critical locations 6) Type/size/location drawings for structures 7) Plan for station designs 8) Right-of-Way base maps for the construction limits 9) Preliminary signal circuit designs 10) Preliminary discussion of alternatives and scaled layout of preferred alternative 11) Preliminary aspect charts
2	Specifications	1) List of standard and special specifications. 2) List of standard and reference drawings.
3	Estimate	Preliminary Project Cost Estimate
4	Exhibits, Calculations and Reports	1) Design Submittal Report, including a summary of preliminary Right-of-Way issues, including potential acquisitions, encroachments, or easements, and describing any discrepancies among available Right-of-Way documents 2) Track schematic, color-coded, illustrating existing and proposed conditions within project limits (11" high strip map) 3) Preliminary Utility Matrix

			4) Preliminary Traffic Impact Report (if required) 5) Preliminary Geotechnical Report 6) Preliminary Permit Matrix 7) Design Interface Matrix 8) Design Review Comments form, with responses 9) Preliminary (using SCRRA part numbers) material list for all added and new equipment 10) Signal design basis report describing the reasons for the project and operational benefits **11) SCRRA Form DPM-24: Preliminary Design Checklist.**
	5		

(3) Project Schedule. In the table below, list all tasks and estimate the approximate duration for completing each task identified above in Deliverables. For example, "6 months after start date the first task or interim deliverable will be complete." Add rows to the table as necessary.

	Task	Task Duration
1	TOTAL PROJECT SCHEUDLE	6 MONTHS
2	Schedule	20 days
3	Geotechnical and Environmental	2 months
4	Utilities	3 months
5	Civil, Roadway, and Track	2 months
6	Bridges and Structures	3 months
7	Lighting	1 month
8	Construction Staging	15 days
9	Permits and Applications	1 month
10	Application to CPUC	15 days
11	Right-of-way	1 month
12	Estimates	15 days
13	Specifications	1 month
14	Signal and Communications	4 months
15	Design Standards	1 month
16	Work Plan	20 days
17	Project Summary/Project definition Report	1 month

(4) Project Cost Estimate/Budget. Provide an overall cost summary, by phase, of PE/NEPA activity in this section, using Appendix 3 of the NOFA. Ensure that the information below corresponds to the list of tasks provided above. The figures in this section of the Statement of Work should match exactly with the funding amounts requested in the SF-424 and in Section C of this application. If there is any discrepancy between the Federal funding amount requested in this section, the SF-424 form, or Section C of this application, the lesser amount will be considered as the Federal funding request. Round to the nearest whole dollar when estimating costs.

The total estimated PE/NEPA activities cost is provided below, for which the FRA grant will contribute no more than the Federal funding request amount indicated. Any additional expense required beyond that provided in this grant to complete the PE/NEPA activities shall be borne by the Grantee.

PE/NEPA Activities Overall Cost Summary		
#	**Task**	**Cost in FY 2011 Dollars**
A	Personnel	117,000
B	Fringe Benefits	66,000
C	Travel	0
D	Equipment	0
E	Supplies	2,000
F	Contractual	1,760,000
G	Construction	0
H	Other (permits)	10,000
	Total PE/NEPA activities cost	$1,955,000

Federal/Non-Federal Funding			
		Cost in FY 2011 Dollars	**Percentage of Total Activities Cost**
	Federal funding request	$1,564,000	80 %
	Non-Federal match amount	$ 391,000	20 %
	Total PE/NEPA activities cost	$1,955,000	100 %

G. Optional Supporting Information

Provide a response to the following questions, as necessary, for the proposed PE/NEPA activities.

(1) Please provide any additional information, comments, or clarifications and indicate the section and question number that you are addressing (e.g., Section E, Question 3). Completing this question is optional.

(2) Please provide a document title, filename, and description for all optional supporting documents. Ensure that these documents are uploaded to GrantSolutions.gov or that an active link is provided with your application and use a logical naming convention.

Document Title	Filename	Description and Purpose
LOSSAN North Corridor Strategic Plan		Strategic Plan to improve the northern corridor from Los Angeles to San Diego
Measure R Ordinance	Measurer R Expenditure Plan,pdf	Ttransportation improvements sales tax approved by the LA County voters in 2008
California State Rail Plan 2007-08 to 2017-18	State Rail Plan.pdf	State Rail Plan
CA Division of Rail Project Mangement Plan	Project Management Plan_2010.pdf	Grantee PMP
Shared Use Agreement -- Saugus and Ventura Lines (April 18, 1991)	Saugus Shared Use Agmt.pdf	Identifies right of way ownership
Project Map -- shapefile	Map -- Raymer -- Bernson.pdf	Identifies the project location
Project Study Report Raymer to DeSoto (Bernson)	PSR -- 2nd Platform Van Nuys PSR 040209	Prepared by SCRRA Engineering Department
SCRRA, MTA, OCTA, RCTC, SANBAG, VCTC System Safety Plan	2209_ SCRRA_ SSPP.pdf	System Safety Plan
LOSSAN Letter Support	LOSSAN Ltr of Support for FY10 HISPR Grants.pd	Letter of Support
SANDAG Letter of Support	SANDAG Ltr of Support for FY10 HISPR Grants.pd	Letter of Support
NCTD Letter of Support	NCTD Ltr of Support for FY10 HISPR Grants.pd	Letter of Support
OCTA Letter of Support	OCTA Ltr of Support for FY10 HISPR Grants.pd	Letter of Support
Measure R Ordiance	Ordinance #09.1	Measure R
Deputy Directive No. DD-25-R1 Title: Local Development-Interngovernmental Review (LD-IGR)	DD-25-R1_final.pdf	Caltrans works with local jurisdictions early and through their land use planning and decission making.

State of California, Dept of Transportation, Intercity Rail Passenger Facility Contract	IC Rail Contract Boilerplate.pdf	Caltrans contract funding, project description, payment, report and records, general provisions, bond provosions, approvals, and resolutions.
2010 State Transportation Improvement Program Fund Estimate	PDF Final 2010 STIP.pdf	2010 STIP estimate of all resources available for the State's transportation infrastructure over the next five-year period.
Senate Bill No. 1703	CA SB 1703 Chaptered (2002).pd	Senate Bill
Business, Transportation Housing Agency Budget Financial	Financial BT & H 2009-10 Budget.pdf	Financial 2009-2010 Planning Budget
State of California, Comprehensive Annual Financial Report for the financial year ending June 30, 2009	Annual Financial Report 2009 SCO.pdf	Contains State of California Comprehensive Annual Financial Report
Summary of Financial Plan Information f	Financial Plan Summary.pd	Listing two sources for financial plan information
Agreement Amtrak, SCRRA, MTA, OCTA, RCTC, SBCAG, VCTC	Intercity & Amend a.pdf	Operating Agreement
Sagus Shared Use Agreement	shared use saugus and ventura lines.pd	Operating Agreement
MTA/Catellus Agreementf	LACMTA & CATELLUS Executed Agreements.pd	Operating Agreement
MTA Letter of Support	MTA Letter of Support HSIPR Applications0001.pdf	Letter of Support
RailPac Letter of Support	RailPac Ltr of Support for FY10 HSIPR Grants.pdf	Letter of Support
City of Glendale Letter of Support	City of Glendale Letter of Support HSIPR Applications0001.pdf	Letter of Support

H. Checklist of Application Materials

Use this section to determine the thoroughness of your PE/NEPA application prior to submission.

Documents	Format
1. Application Form	
☒ HSIPR Individual Project Application Form – PE/NEPA (this form)	Form
2. OMB Standard Forms	
☒ SF 424: Application for Federal Assistance	Form
☒ SF 424A: Budget Information-Non Construction	Form
☒ SF 424B: Assurances-Non Construction	Form
3. FRA Assurances Document	
☒ FRA Assurances Document (See Section 4.2.4 of the NOFA)	Form
4. Project Development Supporting Documentation	
☒ Project Planning Documentation (See Section 4.2.5 of the NOFA)	No Specified Format
5. Project Delivery Supporting Documentation	
☒ Project Management Documentation (See Section 4.2.6 of the NOFA)	No Specified Format
☒ Financial Planning Documentation (See Section 4.2.6 of the NOFA)	No Specified Format
☒ Railroad and Project Sponsor Agreements (See Section 4.2.6 of the NOFA)	No Specified Format
6. Optional Supporting Documentation	
☒ Other Relevant and Available Documentation (See Section 4.2.7 of the NOFA)	n/a
☐ Eligibility Documentation (See Section 3.2 of the NOFA)	n/a

PRA Public Protection Statement: Public reporting burden for this information collection is estimated to average 32 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. According to the Paperwork Reduction Act of 1995, a Federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with, a collection of information unless it displays a currently valid OMB control number. The valid OMB control number for this information collection is **2130-0583**.

Individual PE/NEPA Activities Application Form

High-Speed Intercity Passenger Rail (HSIPR) Program

Applicants interested in applying for funding of Preliminary Engineering (PE)/National Environmental Protection Act (NEPA) activities under the FY10 Individual Project solicitation are required to submit this application form and other required documents as outlined in Section H of this application. List and describe any supporting documentation submitted in Section G. Applicants should reference the FY10 Individual Projects Notice of Funding Availability (NOFA) for more specific information about application requirements. If you have questions about the HSIPR Program or this application, please contact the Federal Railroad Administration (FRA) at HSIPR@dot.gov.

Applicants must use this form by entering the required information in the gray narrative fields, check boxes, or drop-down menus. Submit this completed form, along with any supporting documentation, electronically by uploading them to GrantSolutions.gov by 5:00 p.m. EDT on August 6, 2010.

A. Point of Contact and Applicant Information

Applicant should ensure that the information provided in this section matches the information provided on the SF-424 forms.

<table>
<tr><td colspan="3">(1) Name the submitting agency:
California Department of Transportation</td><td colspan="3">Provide the submitting agency Authorized Representative name and title.:
William D. Bronte
Chief, Division of Rail</td></tr>
<tr><td>Street Address:
1120 N Street
P.O. Box 942874 – MS 74</td><td>City:
Sacramento</td><td>State:
CA</td><td>Zip Code:
94274-0001</td><td colspan="2">Authorized Representative telephone:
916-654-6542
Authorized Representative email:
bill_bronte@dot.ca.gov</td></tr>
<tr><td colspan="3">Provide the submitting agency Point of Contact (POC) name and title (if different from Authorized Representative):
Lea M. Simpson
Chief, Capital Projects and Operations, South Branch</td><td colspan="3">Submitting agency POC telephone: 916-654-7184
Submitting agency POC email: lea_simpson@dot.ca.gov</td></tr>
<tr><td colspan="6">(2) List the name(s) of additional state(s) applying (if applicable):

na</td></tr>
</table>

B. Eligibility Information

Complete the following section to demonstrate satisfaction of applicant eligibility requirements.

(1) Select the appropriate box from the list below to identify applicant type. Applicant type is defined in Section 3.1 of the NOFA.

- ☒ State
- ☐ Group of States
- ☐ Amtrak
- ☐ Amtrak in cooperation with one or more States

If selecting one of the types below, additional documentation is required. Please select the appropriate box to establish applicant eligibility as described in Section 3.2 of the NOFA and list the supporting document in Section G.2 of this application.

- ☐ Interstate Compact
- ☐ Public Agency established by one or more States

(2) Indicate the planning processes used to identify the underlying project.[1] As defined in Section 3.5.1 of the NOFA, the process should analyze the investment needs and service objectives of the service that the underlying project is intended to benefit. The appropriate planning document must be listed in Section G.2 of this application.

- ☒ State Rail Plan
- ☐ Service Development Plan (SDP)
- ☐ Service Improvement Plan (SIP)
- ☒ Statewide Transportation Improvement Plan (STIP)
- ☒ Other, please list this document in Section G.2 with "Other Appropriate Planning Document" as the title
- ☐ The underlying project is not included in a relevant and documented planning process

[1] PE/NEPA activities include the specific tasks necessary to complete PE/NEPA documentation and other tasks applied for in this application that relate to this phase of the underlying project's development. The underlying project is the larger area and/or infrastructure that will be become the Final Design (FD)/Construction project following completion of the PE/NEPA activities.

C. PE/NEPA Activities Summary

Identify the title, location, and other information of your proposed PE/NEPA work by completing this section.

(1) Provide a clear, concise, and descriptive project name. Use identifiers such as state abbreviations, major cities, infrastructure, and tasks of the underlying project (e.g., "DC-Capital City to Dry Lake Track Improvements").

CA-PAC SURF-CP Eastbrook to CP Shell

(2) Indicate the anticipated funding level for the PE/NEPA activities below. This information must match the SF-424 forms, and dollar figures must be rounded to the nearest whole dollar. When the non-Federal match percentage is calculated, it must meet or exceed 20 percent of the total project cost.

Federal Funding Request	Non-Federal Match Amount	Total PE/NEPA Activities Cost	Non-Federal Match Percentage of Total Activities Cost
$ 4,000,000	**$** 3,000,000	**$** 7,000,000	43 **%**

(3) Indicate the activity(ies) for which you are applying. Check all that apply.

☒ Preliminary Engineering ☒ Project NEPA[2]

(4) Indicate the anticipated duration, in months, for these PE/NEPA activities (e.g., 36).

Number of Months: *30*

(5) List the name of the corridor where the underlying project is located.

Amtrak's Pacific Surfliner intercity corridor.

(6) Describe the underlying project location, using municipal names, mileposts, control points, or other identifiable features such as longitude and latitude coordinates. If available, please provide a project GIS .shp file as supporting documentation. This document must be listed in Section G.2 of this application.

This project is located in the City of Oceanside, California, between Mileposts 225.3 and 225.9

(7) Provide a project abstract outlining the proposed PE/NEPA activities. Summarize the project narratives provided in the Statement of Work in 4-6 sentences. Capture the major milestones and outcomes of PE/NEPA activities and the anticipated benefits that will result from the completion of the underlying project.

This project completes preliminary engineering and project-level environmental documentation on improvements to the Pacific Surfliner Corridor in the City of Oceanside, California, including the construction of a 0.6 mile section of second main track and replacement of an aging railway bridge with a double track structure over the San Luis Rey River. This section is publicly-owned by the North County Transit District (NCTD). This project will help alleviate residual train delays in the area and provide on-time performance benefits to intercity passenger trains. The proposed improvements will connect two existing sections of double track resulting in a 3.6 mile stretch of double track. A project map is attached.

[2] Project NEPA documentation is required for the specific design alternative identified through Preliminary Engineering and related activities. Project NEPA documentation may also be referred to as site-specific NEPA or Tier II NEPA documentation.

(8) Indicate the source, amount, and percentage of matching funds for the PE/NEPA activities. The sum of the figures below should equal the amount provided in Section C.2. Click on the prepopulated fields to select the appropriate responses from the lists provided in type of source, status of funding, and type of funds. Dollar figures must be rounded to the nearest whole dollar. Identify supporting documentation that will allow FRA to verify the funding source, and list it in Section G.2 of this application.

Non-Federal Funding Sources	New or Existing Source?	Status of Funding[3]	Type of Funds	Dollar Amount	% of Total Project Cost	Describe Any Supporting Documentation to Help FRA Verify Funding Source
CA-STIP	Existing	Committed	Cash	$ 3,000,000	43 %	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
Sum of Non-Federal Funding Sources				$ 3,000,000	43 %	N/A

[3] Reference Notes: The following categories and definitions are applied to funding sources:

Committed: Committed sources are programmed capital funds that have all the necessary approvals (e.g., statutory authority) to be used to fund the proposed project without any additional action. These capital funds have been formally programmed in the State Rail Plan and/or any related local, regional, or state capital investment program or appropriation guidance. Examples include dedicated or approved tax revenues, state capital grants that have been approved by all required legislative bodies, cash reserves that have been dedicated to the proposed project, and additional debt capacity that requires no further approvals and has been dedicated by the sponsoring agency to the proposed project.

Budgeted: This category is for funds that have been budgeted and/or programmed for use on the proposed project but remain uncommitted (i.e., the funds have not yet received statutory approval). Examples include debt financing in an agency-adopted capital investment program that has yet to be committed in the near future. Funds will be classified as budgeted when available funding cannot be committed until the grant is executed or due to the local practices outside of the project sponsors control (e.g., the project development schedule extends beyond the State Rail Program period).

Planned: This category is for funds that are identified and have a reasonable chance of being committed, but are neither committed, nor budgeted (e.g., proposed sources that require a scheduled referendum, requests for state/local capital grants, and proposed debt financing that has not yet been adopted in the agency's capital investment program).

D. Underlying Project Overview

Answer the following questions about the underlying construction project that is the subject of the PE/NEPA application.

(1) Indicate the expected service outcomes of the underlying project.[4] Check all that apply.

- ☒ Additional service frequencies
- ☒ Service quality improvements
- ☒ Increased average speeds/shorter trip times
- ☒ Improved operational reliability on existing route
- ☒ Improved on-time performance on existing route
- ☒ Other (please describe) Safety improvements; Improved Customer Experience

Briefly clarify your response(s), if needed:

(2) Quantify the applicable service outcomes of the underlying project. Provide the current conditions and anticipated service outcomes. Future state information is necessary only for relevant service benefits.

	Frequencies[5]	**Scheduled Trip Time** (in minutes)	**Average Speed** (mph)	**Top Speed** (mph)	**Reliability –** Provide Either On-Time Performance Percentage or Delay Minutes
Current	**22**	**165**	**47**	**90**	**75**
Future	**26**	**157**	**49**	**90**	**85**

(3) Indicate the type of expected capital investments included in the underlying project. Check all that apply.

- ☒ Structures (bridges, tunnels, etc.)
- ☒ Track rehabilitation and construction
- ☐ Major interlockings
- ☐ Station(s)
- ☒ Communication, signaling, and control
- ☐ Rolling stock refurbishments
- ☐ Rolling stock acquisition
- ☐ Support facilities (yards, shops, administrative buildings)
- ☐ Grade crossing improvements
- ☐ Electric traction
- ☐ Other (please describe)

(4) Select and describe the operational independence of the underlying project.[6]

☒ This project is operationally independent. ☐ This project is not operationally independent.

Briefly clarify your response:

This project is operationally independent and when completed, will provide measurable benefits to the corridor as outlined above.

[4] The underlying project is the larger area and/or infrastructure that will be become the FD/Construction project following completion of the PE/NEPA activities.

[5] Frequency is measured in daily one-way train operations. One daily round-trip operation should be counted as two daily one-way train operations.

[6] A project is considered to have operational independence if, upon being implemented, it will provide tangible and measurable benefits, even if no additional investments in the same service are made.

(5) Provide Right-of-Way ownership in the underlying project area. Where railroads currently share ownership, identify the primary owner. If Amtrak is the Type of Railroad, the Right-of-Way Owner field does not need to be completed. Click on the prepopulated fields to select the appropriate response from the lists of railroad types and status of agreements. If more than five owners, please provide the same information in a separate supporting document, and list it in Section G.2 of this application.

Type of Railroad	Right-of-Way Owner	Route-Miles	Track-Miles	Status of Agreements to Implement
Commuter Railroad or Authority	North County Transit District	1	2	Master Agreement in Place
Amtrak				Master Agreement in Place
Amtrak				Master Agreement in Place
Amtrak				Master Agreement in Place
Amtrak				Master Agreement in Place

(6) Name the Intercity Passenger Rail Operator and provide the status of the agreement. If applicable, provide the status of the agreement with the partner that will operate the planned passenger rail service (e.g., Amtrak). Click on the prepopulated field to select the appropriate response from the status of agreement list.

Name of Rail Service Operator	Status of Agreement
Amtrak	Final executed agreement on project scope/outcomes

(7) Identify the types of services affected by the underlying project and provide information about the existing rail services within the underlying project boundaries (e.g., freight, commuter, and intercity passenger). Click on the prepopulated fields to select the appropriate response from the list of types of service.

Type of Service	Name of Operator	Top Existing Speeds Within Underlying Project Boundaries		Number of Route-Miles Within Underlying Project Boundaries	Average Number of Daily One-Way Train Operations[7] Within Underlying Project Boundaries	Notes
		Passenger	Freight			
Intercity Pa	Amtrak	90		1	22	
Commuter	COASTER	90		1	22	
Freight	BNSF Railway		60	1	8	
Freight						
Freight						
Freight						

[7] One daily round-trip operation should be counted as two daily one-way train operations.

(8) Estimate the share of benefits that will be realized by nonintercity passenger rail service (e.g., commuter, freight) and select the approximate cost share to be paid by the beneficiary.[8] Click on the prepopulated fields to select the appropriate response from the lists of type of beneficiary, anticipated share of benefits, and approximate cost share. If more than three types of nonintercity passenger rail are beneficiaries, please provide additional information in a separate supporting document, and list in Section G.2 of this application.

Type of Nonintercity Passenger Rail	Expected Share of Benefits	Approximate Cost Share
Commuter	Less than 50%	0-25%
Freight	Less than 50%	0-25%
Freight	Less than 50%	0-25%

[8] Benefits include service improvements such as increased speed, on-time performance, improved reliability, and other service quality improvements.

E. Additional Response to Evaluation Criteria

Provide a separate response to each of the following categories of potential benefits to identify the ways in which the proposed PE/NEPA activities and underlying project will achieve these benefits.[9]

(1a) Transportation Benefits

Describe the ways in which the proposed PE/NEPA activities or underlying corridor program will address the potential of successfully executing these transportation benefits in a cost-effective manner:

- Supporting the development of intercity high-speed rail service;
- Generating improvements to existing high-speed and intercity passenger rail service, as reflected by estimated increases in ridership (as measured in passenger-miles), increases in operational reliability (as measured in reductions in delays), reductions in trip times, additional service frequencies to meet anticipated or existing demand, and other related factors;
- Generating cross-modal benefits, including anticipated favorable impacts on air or highway traffic congestion, capacity, or safety, and cost avoidance or deferral of planned investments in aviation and highway systems;
- Creating an integrated high-speed and intercity passenger rail network, including integration with existing intercity passenger rail services, allowance for and support of future network expansion, and promotion of technical interoperability and standardization (including standardizing operations, equipment, and signaling);
- Encouragement of intermodal connectivity and integration through provision of direct, efficient transfers among intercity transportation and local transit networks at train stations, including connections at airports, bus terminals, subway stations, ferry ports, and other modes of transportation;
- Enhancing intercity travel options;
- Ensuring a state of good repair of key intercity passenger rail assets;
- Promoting standardized rolling stock, signaling, communications, and power equipment;
- Improved freight or commuter rail operations, in relation to proportional cost-sharing (including donated property) by those other benefiting rail users;
- Equitable financial participation in the project's financing, including, but not limited to, consideration of donated property interests or services; financial contributions by freight and commuter rail carriers commensurate with the benefit expected to their operations; and financial commitments from host railroads, non-Federal governmental entities, nongovernmental entities, and others;
- Encouragement of the implementation of positive train control (PTC) technologies (with the understanding that 49 U.S.C. 20147 requires all Class I railroads and entities that provide regularly scheduled intercity or commuter rail passenger services to fully institute interoperable PTC systems by December 31, 2015); and
- Incorporating private investment in the financing of capital projects or service operations.

Support of High-Speed Rail Service: Completion of this project will improve existing intercity rail service and specifically rail access and schedule reliability for the Pacific Surfliner passenger services, enhance intercity travel options, increase capacity and goods movement and strengthen future intercity rail connections to the California High-Speed Rail System. Amtrak, Metrolink and COASTER will all act as important rail feeder services to the future California High-Speed Rail system, transporting passengers from San Diego, Riverside, San Bernardino and Orange counties to either the Anaheim Station or Los Angeles Union Station (LAUS), both key rail hubs for high-speed, intercity, and commuter passenger rail services.

Improvements to Existing Service: Key project benefits for the corridor's existing intercity service include improved reliability, on-time performance and safety, increased average speed, and trip time reduction. Currently, overall on-time performance of the passenger rail service in the project area is 75 percent. Together with other planned capital projects in the San Diego portion of the corridor, on-time performance is forecast to increase by 15 percentage points, to 90 percent. This project will help to increase the reliability of rail service and accommodate additional services, including new limited-stop "express" intercity trains operated by Amtrak. Reduced end-to-end

[9] PE/NEPA activities include the specific tasks necessary to complete PE/NEPA documentation and other tasks applied for in this application that relate to this phase of the underlying project. The underlying project is the larger area and/or infrastructure that will be become the FD/Construction project following completion of the PE/NEPA activities.

travel time will allow more optimized equipment rotation, enhancing cost-effectiveness of intercity operations in the corridor.

Cross-modal Benefits: These operational benefits would be shared with freight and commuter passenger rail services. Freight trains, which account for 15 percent of the traffic volume in the project area, are operated by BNSF Railway under a shared-use agreement with NCTD. This agreement and service would be maintained after the project is completed. The corridor is also utilized by COASTER trains, which also will see improved potential for service increases and performance benefits due to this corridor program.

Intercity Travel Options: Over the next 20 years, Southern California is projected to grow by 3.4 million residents. This translates into growth of intercity travel by 24 percent. According to the Purpose and Need for improvements in the corridor, the region's existing transportation network of rail, highway, and air services is currently operating at or near its design capacity, and building additional capacity is both expensive and increasingly problematic. Improvements to the Pacific Surfliner rail corridor would improve passenger rail travel between Los Angeles and San Diego, provide for a better interface with transit and highways, and provide added capacity within a multimodal strategy to help meet increases in intercity travel demand in the region.

Integrated Rail Network: Any improvements on the corridor would build upon an already strong intercity passenger rail network that includes connections to local bus and/or rail service at nearly every station. LAUS, for example, is a hub for Amtrak long-distance and Amtrak California passenger trains, Metrolink commuter trains, the Metro Red, Purple and Gold Line rail services, LAX Flyaway bus service, and several bus services. As discussed above, corridor passenger rail services will act as an important feeder to the statewide high-speed rail system through connections at Anaheim, LAUS, and downtown San Diego. When the high-speed trains enter revenue service, both Amtrak Pacific Surfliner and commuter services will feed into the statewide system, allowing communities not located along the statewide high-speed corridor to be connected to the service.

Intermodal Benefits: Improvements that increase capacity, reduce travel time, and improve reliability help maintain and attract ridership on the service. Additional ridership maximizes the cost-effectiveness of the State's investment by reducing operating subsidies, allowing funds to be used on other rail improvements or to expand service. This project would make rail travel a more attractive transportation alternative in the corridor. Improvements to the corridor also would result in better connections to public transit services, including direct services to airports in Los Angeles, Orange, and San Diego counties, as well as key local bus feeder services to reach downtowns and other major activity centers.

State of Good Repair, Standards and PTC: This project will maintain the railroad in a state of good repair, as track and signal systems are upgraded and aging bridge structures are replaced as needed. The project also will upgrade track, signals, and communications systems to current standards. Southern California railroads have committed to substantial implementation of Positive Train Control (PTC) by 2012, with full implementation scheduled in advance of the 2015 federal mandate.

Financial Equity: Non-Federal matching funds in excess of the minimum 20 percent are available from the State Transportation Improvement Program

Rail safety is also a component of this project due to the construction of double track.

(1b) Other Public Benefits

Demonstrate the potential of the proposed PE/NEPA activities or underlying project to achieve other public benefits in a cost-effective manner:

- Environmental quality and energy efficiency and reduction in dependence on foreign oil, including use of renewable energy sources, energy savings from traffic diversions from other modes, employment of green building and manufacturing methods, reductions in key emissions types, and the purchase and use of environmentally sensitive, fuel-efficient, and cost-effective passenger rail equipment;
- Promoting interconnected livable communities, including complementing local or state efforts to concentrate higher-density, mixed-use, development in areas proximate to multi-modal transportation options (including intercity passenger rail stations);
- Improving historic transportation facilities; and

- Creating jobs and stimulating the economy. Although this solicitation is not funded by the American Recovery and Reinvestment Act of 2009 (Public Law 111-5), these goals remain a top priority of this Administration. Therefore, Individual Project applications will be evaluated on the extent to which the project is expected to quickly create and preserve jobs and stimulate rapid increases in economic activity, particularly jobs and activity that benefit economically distressed areas, as defined by section 301 of the Public Works and Economic Development Act of 1965, as amended (42 U.S.C. 3161) ("Economically Distressed Areas").

Environmental Benefits:

The goal and benefit of this project, and others that promote intercity rail, is the reduction of single-occupant motor vehicle travel and the resulting air quality, congestion, petroleum consumption, and safety impacts/costs of this travel. This program will contribute to that goal by offering more rapid, safe and reliable passenger rail transportation that will attract travelers from single-occupant motor vehicles. Improvement of the State's transportation infrastructure will improve mobility in the area, which will in turn improve the economy, the environment, and support social equity.

The project has the potential to increase the speed and reliability of passenger rail service between San Diego and Los Angeles. If the over-riding environmental goal of reducing the amount of single-occupant automobile travel in the State is to be achieved, the speed and reliability of the passenger rail system must be increased to a very high level. These speed improvements will support that goal. Passenger rail service provides a significant contribution to reducing dependence on oil and reducing greenhouse gas emissions.

The benefit of freight rail service in the region that replaces trucks on the road is also significant. Just one intermodal train can take more than 280 trucks off the nation's long-distance highways. If just ten percent of the freight that currently moves by truck were diverted to rail, over one billion gallons of fuel would be saved.

The transportation sector is the State's largest source of greenhouse gases (GHG). Between 2002 and 2004 the transport sector annually accounted for approximately 38 percent of the State's total GHG emissions; the on-road portion alone (as distinguished from aviation, rail and water-borne) represented approximately 36 percent of total GHG emissions. Research shows that both carbon dioxide (CO2) emissions and energy use are reduced when rail travel is compared to the automobile. Recent figures illustrate that on a per passenger basis, trains emit 43 pounds of CO2 while cars emit 124 pounds. Energy use per passenger mile is 2,709 British Thermal Units (BTUs) with trains and 3,445 with cars. Data confirms that intercity passenger rail is more fuel-efficient than cars, thus it conserves more fuel and improves air quality. Intercity rail becomes increasingly more efficient as the number of passengers increase per train.

Intercity Passenger Rail supports the "Global Warming Solutions Act" (AB 32, 2006). This landmark bill requires the State's global warming emissions to be reduced to 1990 levels by 2020.

The California Department of Transportation (Caltrans) preserves California's investment in State-owned rail cars and locomotives through frequent inspections and maintenance cycles. California has the largest fleet of State-owned rail equipment in the country. Rebuilt locomotives now meet EPA clean air standards. Caltrans is also improving the fuel efficiency and emission reduction of its State-owned locomotives. During the past decade the Environmental Protection Agency instituted a new emission requirement for diesel locomotives. The State owns 17 locomotives (15 EMD F59 and two General Electric [GE] units). All F59 locomotives used in the State-supported rail system, meet the Tier 0 requirements. The F59 locomotives were upgraded to Tier 0 before being required to do so. The two GE locomotives were overhauled in 2008, and brought up to Tier 0 standards. The F59 locomotives will receive Tier 2 engine kits for the main engines at their next overhaul which began in 2008. They will then emit 35 percent less NOx and less than half the particulates than previously allowed in Tier 1 at 25 percent less NOx and 33 percent less particulates than previously allowed in Tier 0. Additionally, the Head End Power (HEP) units on the locomotives, which generate electricity to supply power for lighting and utilities within the passenger cars, are being updated. All F59 locomotives are scheduled to be equipped with Automatic Engine Start Stop (AESS) systems within the next year. This system reduces excessive engine idling resulting in reduced exhaust emissions and fuel savings. To date five systems have been installed and preliminary analysis show a marked reduction in emissions and increased fuel savings.

Amtrak and BNSF Railway operate to protect and enhance the environment by monitoring and measuring environmental performance indicators and goals. Caltrans supported Intercity Passenger trains are committed to

environmental stewardship and play a vital role in our nation's economy, while reducing emissions, saving fuel and relieving highway congestion.

Livable Communities:

By 2030, the Pacific Surfliner Corridor will be home to more than 21 million residents, an increase of nearly 5 million since 2000, pointing to the need for a wide variety of housing choices, more affordability, more accessible public transportation services, more walkability, and a greater mix of land uses. Pacific Surfliner Corridor agencies are improving connections between land use and transportation using smart growth principles. Rail stations serve as central activity centers that are integrated into communities. Examples of improved transit/land use integration and improved multimodal connections in the corridor include:

Santa Barbara, California has an active program, Santa Barbara Car Free, encouraging alternative means to get to and from the intercity rail station including walking, biking, and a local electric transit shuttle.

The Chatsworth Station, currently served by Amtrak intercity trains and Metrolink commuter rail service, will become a major bus/rail transfer point for the region in 2012 with the extension of the Metro Orange Line, a dedicated regional busway. LA Metro operates an on-site child care center. The adjacent regional bikeway will also be extended to provide an 18-mile dedicated east-west bikeway.

LAUS is the intermodal transportation center for the Los Angeles area and includes direct connections between airport flyaway bus, local and commuter bus, Amtrak intercity and long distance trains, Metrolink commuter rail, Metro subway and light rail, and future high speed rail services. Each day, nearly 400 trains depart Union Station and last year, 1.2 million intercity passengers used LAUS.

The Anaheim Regional Transportation Intermodal Center (ARTIC) will include direct connections between existing intercity, commuter, and future high-speed rail services, and bus connections. Transit-oriented development near ARTIC will integrate the station into the surrounding community.

The City of Santa Ana in Orange County, California, is using local transportation funds to study the feasibility of local streetcar routes to integrate transit into the character of the local community, promote economic development, and provide first/last mile connections between the intercity and commuter rail station and downtown.

NCTD has developed a mixed use, high density master plan for the Oceanside Transit Center, a major transfer point between intercity, commuter, and light rail services and local bus, within walking distance to the City of Oceanside's proposed smart growth town center.

Downtown San Diego is the region's administrative, legal, government, business, entertainment, and cultural center, with the largest centralized, high-density housing in the region. The Centre City Community Plan contains designated land uses that will allow people to live and work near transit in pedestrian-friendly neighborhoods.

Economic Benefits:

Each day in the region, nearly 300 Amtrak intercity trains, Metrolink and COASTER commuter trains, and BNSF Railway and Union Pacific freight trains operate on the same tracks on a rail network that is stretched to capacity. There are over 1.3 million monthly trips taken on passenger rail of which 1 million or 72 percent are work trips. Passenger rail service in the corridor is a safe, reliable, efficient passenger train service that provides a viable commute alternative and expands the reach of employment opportunities into to and from economically distressed areas. The average commute distance in the southern California region is seven miles, whereas the average commute trip length of intercity riders in the corridor is 47 miles, and of intercity riders in general is over 83 miles.

This project is expected to have two-tier economic benefits in the Southern California region: short-term local economic stimulus and long-term economic growth. The project is expected to create jobs in all sectors of the labor and technical professions needed to plan and construct these improvements. In addition to the construction jobs, this project is likely to create jobs in other industries, especially in the service sector in Southern California, since the project will have positive effects on mobility. This project would bring additional economic benefits, namely time savings from reduced congestion, shorter travel times, and smoother goods movement in the Southern California region; a vital contribution to the regional economy.

Total project spending of $7 million will sustain economic activity in Southern California of nearly $14 million, generating 105 annual full-time equivalent jobs with earnings of $6 million.

The State of California identifies a Disadvantaged Community (DAC) as any community where the median household income is below 80 percent of the statewide household income, relying upon 2000 Census data. According to this definition, there are more than 84 disadvantaged communities in the six-county Southern California region. In 2000 there were 136,593 people employed in the construction industry in DACs. This represented 33 percent of the regional construction industry employment.

(2) Project Delivery Approach

Consider the following factors to determine the risk associated with the PE/NEPA activities delivery within budget, on time, and as designed:

- The applicant's financial, legal, and technical capacity to implement the project, including whether the application depends upon receipt of any waiver(s) of Federal railroad safety regulations that have not been obtained;
- The applicant's experience in administering similar grants and projects, including a demonstrated ability to deliver on prior FRA financial assistance programs;
- The soundness and thoroughness of the cost methodologies, assumptions, and estimates for the proposed project;
- The reasonableness of the schedule for project implementation;
- The thoroughness and quality of project management documentation;
- The timing and amount of the project's future noncommitted investments;
- The overall completeness and quality of the application, including the comprehensiveness of its supporting documentation;
- The readiness of the project to be commenced; and
- The timeliness of project completion and the realization of the project's anticipated benefits.

Financial, Legal, and Technical Capacity: Caltrans manages two intercity routes operated by Amtrak, the Pacific Surfliner and San Joaquin, and financially supports a third, the Capitol Corridor. Caltrans Contract Managers are responsible for the following: developing detailed descriptions of services; requesting services; ensuring compliance with contract provisions; monitoring Contractor's progress to ensure work is on schedule, complete, and acceptable; approving products and/or services; reviewing invoices; monitoring expenditures; authorizing payments; requesting timely contract renewals or amendments when necessary; and closing out contracts. The Division of Procurement and Contracts (DPAC) and Contract Managers work together to ensure necessary services are procured in accordance with and compliance to State laws and regulations and aid in the successful operation of the total delivery of service.

Grant Experience: Caltrans, Division of Rail (DOR) has vast experience in managing various sized rail investment projects. Caltrans has Project Managers in place that are authorized representatives of the State, responsible for the administration of contracts and monitoring/documenting Contractors' performance.

Thoroughness of project estimates: Caltrans has documented history of our ability to deliver intercity passenger rail projects. Since the year 2000, Caltrans has managed and delivered $650 million dollars in projects that are identified and coordinated with freight and commuter railroad partners. For the Oceanside Double Track Project, Caltrans and Amtrak entered into a contract on August 15, 2006 for a total of $13,103,000 to replace a timber bridge and construct 1.2 miles of double tracking, in order to eliminate most dispatcher delays and increase schedule reliability, on-time performance and track speed. Construction was completed on March 27, 2009, which is four months prior to the contract expiring and under budget by $134,000. Cost estimates and schedules for the project are based on experience in the corridor over the last 30 years, with construction of more than $1 billion in projects. This experience minimizes engineering and constructability risks.

Project Management Plan: The DOR Project Management Plan outlines the various steps involved in developing and implementing a capital project in the Intercity Passenger Rail Program as well as the roles and responsibilities associated with administering the project. Caltrans will administer the contract and provide oversight to ensure contract compliance. Caltrans project manager will approve work in progress and provide project acceptance when all the construction elements are satisfactorily completed. Caltrans has an Audits and Investigations office that reviews contracts before contract award to determine if the contractor is able to fulfill the contractual obligations. Audits also reviews completed projects to verify that the contractor has fulfilled his/her contractual obligations. Caltrans will have regular meetings with the contractor to discuss progress to date on the project and contractor will provide quarterly progress reports. Caltrans will provide quarterly reports in conformance to Federal requirements

for project progress reporting.

Contract Management and Completeness: For each contract, Caltrans Contract Managers will do the following: ensure that all federal or special regulations are adhered to; review progress reports and interim products for compliance with contract objectives and timeframes; maintain constant status of contracts' available encumbrances balances by keeping a running total of charges and cost for each contract on a spreadsheet; review encumbrance information in contracts to ensure all figures are correct and the encumbrance is sufficient for the current fiscal year, and provide necessary documentation as requested. The Contract Manager will notify Budgets, Resource Management, or Accounting Encumbrance units, if problems occur, and move encumbrance from one Project ID into another Project ID near the end of the fiscal year, if needed. Contract Managers must ensure that work proceeds on schedule and is completed and accepted by Caltrans before contracts expire and services are paid.

Project Readiness and Benefits: Pending funding, the project is ready to begin, with completion budgeted within 30 months. Progress and successful completion will mean the project can proceed into final design and construction.

(3) Project Delivery Approach

Address the likelihood of realizing the proposed project's benefits:

- The quality of financial planning documentation that demonstrates the financial viability of the HSIPR service that will benefit from the project;
- The availability of any required operating financial support, preferably from dedicated funding sources for the benefiting intercity passenger rail service(s);
- The quality and adequacy of project identification and planning;
- The reasonableness of estimates for user and non-user benefits for the project;
- The comprehensiveness and sufficiency, at the time of application, of agreements with key partners (including the railroad operating the intercity passenger rail service and infrastructure-owning railroads) that will be involved in the operation of the benefiting intercity passenger rail service, including the commitment of any affected host-rail carrier to ensure the realization of the anticipated benefits, preferably through a commitment by the affected host-rail carrier(s) to an enforceable on-time performance of passenger trains of 80 percent or greater;
- The favorability of the comparison between the level of anticipated benefits and the amount of Federal funding requested; and
- The applicant's contribution of a cost share greater than the required minimum of 20 percent.

Fund Availability: Since 1976, the State of California has invested more than $1 billion in capital improvements on the Pacific Surfliner Corridor, not including investments in new rolling stock. The State Public Transportation Account (PTA) has to date been the sole funding source for intercity rail operations and equipment overhaul. State Proposition 116 designated the Account as a trust fund to be used "only" for transportation planning and mass transportation purposes (Public Utilities Code Section 99310.5). State law designates the funding sources of the PTA, which are primarily sales tax on diesel fuel and a portion of sales tax on gasoline. Public Utilities Code Section 99315 specifies that PTA funds are to be used for intercity rail services. Each year an appropriation is included in the State Budget for intercity rail operations and heavy equipment overhaul (Item 2660-001-0046). In FY 2009-10 the base budget funding amount for intercity rail operations is $90.3 million and $13.2 million for heavy equipment overhaul. The appropriation level for intercity rail operations becomes the base for the following year's budget.

Each year Los Angeles County Transportation Authority (Metro), Orange County Transportation Authority (OCTA), Ventura County Transportation Commission (VCTC) and NCTD program funding towards Rehabilitation of the rail right-of-way in the Pacific Surfliner Corridor owned by these four public agencies. In FY 2009-10 they programmed $26 million and in FY 2010-11 have programmed $8.7 million in System Preservation expense. Further, the Southern California Regional Rail Authority (SCRRA) and NCTD maintains this rail right-of-way and the operating maintenance expense of $15.5 million in FY 2009-10 and $16.0 million in FY 2010-11 is funded by the four public agencies.

The analysis shows the farebox ratio on the Pacific Surfliners is projected to be 67.8 percent in FY 2017-18.

Project Identification and Planning: Two detailed documents have been completed identifying project priorities through detailed operations modeling and other evaluation criteria. In 2009, two complementary corridor-specific

planning studies were completed. First, NCTD, San Diego Association of Governments (SANDAG), Amtrak, BNSF Railway, and Caltrans completed a detailed prioritization study of 40 rail projects along the San Diego portion of the corridor. Each project was evaluated on a series of criteria, rail performance being the most heavily weighted. Other criteria included cost, project delivery, environmental, community, and safety. Double tracking projects included in this corridor program ranked in the top 20 percent in this analysis. Second, OCTA worked with Metrolink and Caltrans to complete a technical memorandum in July 2009 that identified track and signal projects necessary to enhance the Pacific Surfliner Corridor through reduced travel times, improved reliability and safety, and expanded capacity and accessibility. Each of the projects included in this corridor program was identified in the technical memorandum as a project that would improve passenger rail operations and have a corridorwide benefit.

User and Non-User Benefits: The user and non-user benefits are discussed under Transportation and Other Public Benefits sections. These benefits have been developed through best practices in the industry.

Key Agreements: Caltrans funding agreements with Railroads and Local Governmental Agencies include language that states that the project work is to be performed for total cost not to exceed the amount stated in the agreement. If the Railroad or Local Governmental Agency identifies an issue that will increase the cost of the project, the DOR works with them to identify other funding sources or revise the project scope to achieve the same benefit. Other funding sources available include State of California general obligation bonds authorized by the voters in 2006 and 2008 or through the State's regular capital funding programs.

In the attached letters of support, the San Diego agencies have committed to build, operate and maintain the proposed improvements in their own territories if the projects are funded. The Intercity Agreement for operation in the Pacific Surfliner Corridor between Amtrak and SCRRA and the five member agencies of SCRRA has been in place since 1992. In addition, the Intercity Agreement requires that if an intercity train on SCRRA territory falls five minutes behind schedule, the train miles will not be covered by the incentive portion of the agreement. This results in the loss of $3.25 for every train-mile that is more than 5-minutes behind schedule. This penalty excludes scheduled construction or mechanical delays. In addition, if a train arrives on SCRRA territory later than the published schedule, that time is assumed as the schedule for purposes of this payment. SCRRA also dispatches the intercity trains in San Diego County.

Cost Sharing: The corridor program has significant benefits as discussed above and the federal funding request is less than the maximum of 80 percent. The applicant's contribution is greater than the minimum.

F. Statement of Work

Provide a detailed response for how the PE/NEPA activities will be carried out in the text fields and tables provided. The tables in this section are unlocked; applicants can add rows, as necessary, for additional tasks. If you reference a supporting document, it must be listed in Section G.2.

(1) Background. Briefly describe the events that led to the need for the proposed PE/NEPA activities and the underlying issue the project will address. Also describe the rational planning process used to analyze the investment needs and service objectives of the full corridor on which the individual underlying project and the PE/NEPA activities are located.

Amtrak's Pacific Surfliner rail corridor is the nation's second busiest, serving six counties and 351 miles along the southern California coastline. This rail corridor, also known as the Los Angeles-San Diego-San Luis Obispo (LOSSAN) rail corridor, is shared between Amtrak's Pacific Surfliner intercity passenger rail, Metrolink and COASTER commuter rail services and BSNF Railway and Union Pacific (UP) freight services. The corridor's passenger rail services will provide a key connection to the state's future high-speed train service at Anaheim, downtown San Diego, and Los Angeles Union Station.

The California State Rail Plan identifies the programs and policies needed in order for the state's intercity rail program to play a key role in meeting current and future intercity travel demand. Capacity improvements in the San Diego portion of the Pacific Surfliner/LOSSAN corridor are an important component of the plan. The 2030 Regional Transportation Plan for San Diego identifies an improved LOSSAN Rail Corridor as a major transportation goal. This plan calls for double tracking, bridge replacements and station improvements such as additional track that will be needed in order to provide additional passenger rail service as an alternative to driving the busy Interstate 5 corridor. This Project will construct 0.6 miles of new second track, construct a double track bridge across the San Luis Rey River, replacing a single timber-trestle bridge dating back to 1925, and connect two current sections of second track to create a 3.6 mile continuous section.

In 2007, Caltrans and the Federal Railroad Administration certified a PEIR/EIS for the Los Angeles to San Diego segment of the Pacific Surfliner corridor. Over the next 20 years, Southern California is projected to grow by 3.4 million residents. This translates into growth of intercity travel by 24 percent. According to the Purpose and Need for improvements in the corridor, the region's existing transportation network of rail, highway, and air services is currently operating at or near its design capacity, and building additional capacity is both expensive and increasingly problematic. This project is one component of a comprehensive vision for the rail corridor in order to meet future intercity travel needs.

In July 2009, SANDAG, NCTD, BNSF Railway, Caltrans, and Amtrak completed a prioritization study of more than 40 projects along San Diego's 60-mile segment of the corridor. The double track project ranked 13th in this analysis.

California Senate Bill 1703 (2002) consolidated transit capital project construction in San Diego County with SANDAG, including responsibilities for capital improvements along the San Diego segment of the rail corridor. SANDAG completes these projects in close coordination with the rail owners and operators of the corridor.

(2) Scope of Activities. Clearly describe the scope of the proposed PE/NEPA activities and identify the general objective and key deliverables.

(2a) General Objective. Provide a general description of the PE/NEPA work to be accomplished through this grant, including PE/NEPA activities, the underlying project study area, and other parties involved. Describe the end-state of the project, how it will address the need identified in Background (above), and the outcomes that will be achieved as a result of these PE/NEPA activities and underlying project.

This project completes preliminary engineering and project-level environmental documentation on a set of improvements to the Pacific Surfliner Corridor in the City of Oceanside, California, between Mileposts 225.3 and 225.9 including the construction of a 0.6 mile section of second main track, replacement of a timber trestle railway bridge built in 1925, and signal improvements. This project will improve schedule reliability in this segment of the corridor and reduce future bridge maintenance costs. Two existing second main track segments will be connected by this project, resulting in a 3.6 mile continuous segment and will facilitate the ability for trains to make meets and passes without the need for stopping, thereby improving schedule reliability by reducing delays and travel time. These improvements will benefit intercity, commuter, and freight operations. Proposed track and signal improvements will be located within public rail right of way owned by NCTD.

(2b) **Description of Work.** Provide a detailed description of the specific tasks to be accomplished through this grant in a logical sequence that would lead to the anticipated outcomes and the end state of the activities.

This project will complete Preliminary Engineering and Project-level Environmental Documentation for the CP Eastbrook to CP Shell Double Track project. This work will be accomplished in the following tasks:

Task 1 - Develop a detailed workplan and schedule outlining the detailed tasks and schedule to accomplish the work.

Task 2 - This work will be closely coordinated with NCTD, Amtrak, BNSF, Metrolink, FRA, and the City of Oceanside. The public will have an opportunity to comment on this project.

Task 2 - Complete Preliminary Engineering including updated Project Study Report, updated Conceptual Engineering Designs and Drawings for double tracking, bridge replacement, and platform, and detailed cost estimates.

Task 3 - Complete appropriate project-level environmental documentation.

(2c) **Deliverables.** Provide FRA with a list of the deliverables in the table below. List the deliverables, both interim and final, that are the outcomes of the project tasks. This should include a first deliverable 1 – Detailed PE/NEPA Workplan and Schedule. Add rows to the table as necessary.

	Deliverable	Task
1	Detailed PE/NEPA Workplan and Schedule (Required)	1
2	Stakeholder Outreach Plan	2
3	Detailed and complete preliminary engineering documents including PSR, Conceptual Engineering Designs and Drawings	3
4	Detailed and complete project-level environmental documentation	4
5		

(3) Project Schedule. In the table below, list all tasks and estimate the approximate duration for completing each task identified above in Deliverables. For example, "6 months after start date the first task or interim deliverable will be complete." Add rows to the table as necessary.

	Task	Task Duration
1	Workplan	Within 3 months after start date
2	Outreach	Stakeholder meetings and outreach ongoing through life of project
3	Preliminary Engineering	Within 18-20 months from workplan adoption
4	Environmental Document	Within 30 months from workplan adoption

(4) Project Cost Estimate/Budget. Provide an overall cost summary, by phase, of PE/NEPA activity in this section, using Appendix 3 of the NOFA. Ensure that the information below corresponds to the list of tasks provided above. The figures in this section of the Statement of Work should match exactly with the funding amounts requested in the SF-424 and in Section C of this application. If there is any discrepancy between the Federal funding amount requested in this section, the SF-424 form, or Section C of this application, the lesser amount will be considered as the Federal funding request. Round to the nearest whole dollar when estimating costs.

The total estimated PE/NEPA activities cost is provided below, for which the FRA grant will contribute no more than the Federal funding request amount indicated. Any additional expense required beyond that provided in this grant to complete the PE/NEPA activities shall be borne by the Grantee.

PE/NEPA Activities Overall Cost Summary		
#	Task	Cost in FY 2011 Dollars
1	Workplan	$ 50,000
2	Outreach	$ 50,000
3	Preliminary Engineering	$ 3,500,000
4	Environmental Documentation	$ 3,400,000
	Total PE/NEPA activities cost	$ 7,000,000

Federal/Non-Federal Funding			
		Cost in FY 2011 Dollars	Percentage of Total Activities Cost
	Federal funding request	$ 4,000,000	57.1 %
	Non-Federal match amount	$ 3,000,000	42.9 %
	Total PE/NEPA activities cost	$ 7,000,000	100.0 %

G. Optional Supporting Information

Provide a response to the following questions, as necessary, for the proposed PE/NEPA activities.

(1) Please provide any additional information, comments, or clarifications and indicate the section and question number that you are addressing (e.g., Section E, Question 3). Completing this question is optional.

Section D, Question 2 - Travel Time provided is between Los Angeles and San Diego.

(2) Please provide a document title, filename, and description for all optional supporting documents. Ensure that these documents are uploaded to GrantSolutions.gov or that an active link is provided with your application and use a logical naming convention.

Document Title	Filename	Description and Purpose
San Diego LOSSAN Corridor Project Prioritization Analysis, July 2009.	LOSSAN San Diego Rail Prioritization Report and Analysis.pdf	This study analyzed 40 individual rail projects along the San Diego Pacific Surfliner corridor and, through detailed operations modeling and planning, prioritize these investments in order to meet approved service expansions for intercity, commuter, and freight rail services.
CA-PAC SURF-CP Eastbrook to CP Shell map	CA Pac Surf Eastbr PE Map.pdf	Project Map
NCTD/Amtrak Stakeholder Agreement	NCTD Amtrak Intercity Agreement Complete .pdf	Operating Agreement
NCTD/BNSF Stakeholder Agreement	NCTD BNSF Agreement Complete.pdf	Operating Agreement
NCTD/SCRRA Dispatch Agreement	SCRRA - NCTD Dispatch Agmt.pdf	Dispatching Agreement
California Senate Bill 1703	CA SB 1703 Chaptered .pdf	SANDAG Construction Authority documentation
SANDAG Letter of Support	SANDAG Ltr of Support for FY10 HSIPR.pdf	Letter of Support
NCTD Letter of Support	NCTD Ltr of Support for FY10 HSIPR Grants.pdf	Letter of Support
Non-Construction Budget Detail and Narrative	Budget Detail.pdf	Budget Detail and Narrative
SCRRA Letter of Support	SCRRA Support HSIPR Pac Surf. PDF	Letter of Support
CA Division of Rail Project Management Plan	Project Management Plan_2010.pdf	Grantee PMP
State of California, Comprehensive Annual Financial Report for the fiscal year ending June 30, 2009	Annual Financial Report 2009 SCO.pdf	Contrains State of California Comprehensive Annual Financial Report
Deputy Directive # DD-25-R1, Title: Local Devel.-Intergovernmental Review (LD-IGR)	DD-25-R1_final.pdf	Caltrans works with local jurisdictions early and through their land use planning and decision-making

State of California, Dept of Transportation, Intercity Rail Passenger Facility Contract	IC Rail Contract - Boilerplate.pdf	Contains contract funding, project description, payment, report and records, general provisions, bond provisions, approvals, and resolutions.
2010 State Transportation Improvement Program Fund Estimate	PDF Final 2010 STIP.pdf	State's transportation infrastructure over the next five-year period.
Business, Transportation, Housing Agency Budget	Financial BT&H 2009-10 Budget.pdf	Financial 2009-2010 Budget
Summary of Financial Plan Information	Financial Plan Summary.pdf	Listing two sources for financial plan information
U.S. Department of Transportation, FRA	FRA Assurances Signed.pdf	Certifications Regarding Debarment, Suspension and Other Responsibility Matters, Drug-Free Workplace Requirements and Lobbying
California State Rail Plan 2007-2008 to 2017-2018	State Rail Plan.pdf	State Rail Plan
OCTA Letter of Support	OCTA letter of support. pdf	Letter of Support
Project Study Report	CA Pac Surf Eastbr PE PSR.pdf	Overview of Project, Schedule, and Scope
LOSSAN Letter of Support	LOSSAN Ltr of Support for FY10 HSIPR Grants.pdf	Letter of Support

H. Checklist of Application Materials

Use this section to determine the thoroughness of your PE/NEPA application prior to submission.

Documents	Format
1. Application Form	
☒ HSIPR Individual Project Application Form – PE/NEPA (this form)	Form
2. OMB Standard Forms	
☒ SF 424: Application for Federal Assistance	Form
☒ SF 424A: Budget Information-Non Construction	Form
☒ SF 424B: Assurances-Non Construction	Form
3. FRA Assurances Document	
☒ FRA Assurances Document (See Section 4.2.4 of the NOFA)	Form
4. Project Development Supporting Documentation	
☒ Project Planning Documentation (See Section 4.2.5 of the NOFA)	No Specified Format
5. Project Delivery Supporting Documentation	
☒ Project Management Documentation (See Section 4.2.6 of the NOFA)	No Specified Format
☒ Financial Planning Documentation (See Section 4.2.6 of the NOFA)	No Specified Format
☒ Railroad and Project Sponsor Agreements (See Section 4.2.6 of the NOFA)	No Specified Format
6. Optional Supporting Documentation	
☒ Other Relevant and Available Documentation (See Section 4.2.7 of the NOFA)	n/a
☐ Eligibility Documentation (See Section 3.2 of the NOFA)	n/a

PRA Public Protection Statement: Public reporting burden for this information collection is estimated to average 32 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. According to the Paperwork Reduction Act of 1995, a Federal agency may not conduct or sponsor, and a person is not required to respond to, nor shall a person be subject to a penalty for failure to comply with, a collection of information unless it displays a currently valid OMB control number. The valid OMB control number for this information collection is **2130-0583**.

Individual PE/NEPA Activities Application Form

High-Speed Intercity Passenger Rail (HSIPR) Program

Applicants interested in applying for funding of Preliminary Engineering (PE)/National Environmental Protection Act (NEPA) activities under the FY10 Individual Project solicitation are required to submit this application form and other required documents as outlined in Section H of this application. List and describe any supporting documentation submitted in Section G. Applicants should reference the FY10 Individual Projects Notice of Funding Availability (NOFA) for more specific information about application requirements. If you have questions about the HSIPR Program or this application, please contact the Federal Railroad Administration (FRA) at HSIPR@dot.gov.

Applicants must use this form by entering the required information in the gray narrative fields, check boxes, or drop-down menus. Submit this completed form, along with any supporting documentation, electronically by uploading them to GrantSolutions.gov by 5:00 p.m. EDT on August 6, 2010.

A. Point of Contact and Applicant Information

Applicant should ensure that the information provided in this section matches the information provided on the SF-424 forms.

<table>
<tr><td colspan="3">(1) Name the submitting agency:
California Department of Transportation</td><td colspan="3">Provide the submitting agency Authorized Representative name and title.:
William D. Bronte
Chief, Division of Rail</td></tr>
<tr><td>Street Address:
1120 N Street
P.O. Box 942874 – MS 74</td><td>City:
Sacramento</td><td>State:
CA</td><td>Zip Code:
94274-0001</td><td colspan="2">Authorized Representative telephone:
916-654-6542
Authorized Representative email:
bill_bronte@dot.ca.gov</td></tr>
<tr><td colspan="3">Provide the submitting agency Point of Contact (POC) name and title (if different from Authorized Representative):
Lea M. Simpson
Chief, Capital Projects and Operations, South Branch</td><td colspan="3">Submitting agency POC telephone: 916-654-7184
Submitting agency POC email: lea_simpson@dot.ca.gov</td></tr>
<tr><td colspan="6">(2) List the name(s) of additional state(s) applying (if applicable):

na</td></tr>
</table>

B. Eligibility Information

Complete the following section to demonstrate satisfaction of applicant eligibility requirements.

(1) Select the appropriate box from the list below to identify applicant type. Applicant type is defined in Section 3.1 of the NOFA.

- ☒ State
- ☐ Group of States
- ☐ Amtrak
- ☐ Amtrak in cooperation with one or more States

If selecting one of the types below, additional documentation is required. Please select the appropriate box to establish applicant eligibility as described in Section 3.2 of the NOFA and list the supporting document in Section G.2 of this application.

- ☐ Interstate Compact
- ☐ Public Agency established by one or more States

(2) Indicate the planning processes used to identify the underlying project.[1] As defined in Section 3.5.1 of the NOFA, the process should analyze the investment needs and service objectives of the service that the underlying project is intended to benefit. The appropriate planning document must be listed in Section G.2 of this application.

- ☒ State Rail Plan
- ☐ Service Development Plan (SDP)
- ☐ Service Improvement Plan (SIP)
- ☒ Statewide Transportation Improvement Plan (STIP)
- ☒ Other, please list this document in Section G.2 with "Other Appropriate Planning Document" as the title
- ☐ The underlying project is not included in a relevant and documented planning process

[1] PE/NEPA activities include the specific tasks necessary to complete PE/NEPA documentation and other tasks applied for in this application that relate to this phase of the underlying project's development. The underlying project is the larger area and/or infrastructure that will be become the Final Design (FD)/Construction project following completion of the PE/NEPA activities.

C. PE/NEPA Activities Summary

Identify the title, location, and other information of your proposed PE/NEPA work by completing this section.

(1) Provide a clear, concise, and descriptive project name. Use identifiers such as state abbreviations, major cities, infrastructure, and tasks of the underlying project (e.g., "DC-Capital City to Dry Lake Track Improvements").

CA-PAC SURF CP Elvira to CP Morena DT

(2) Indicate the anticipated funding level for the PE/NEPA activities below. This information must match the SF-424 forms, and dollar figures must be rounded to the nearest whole dollar. When the non-Federal match percentage is calculated, it must meet or exceed 20 percent of the total project cost.

Federal Funding Request	Non-Federal Match Amount	Total PE/NEPA Activities Cost	Non-Federal Match Percentage of Total Activities Cost
$ 10,000,000	**$** 3,000,000	**$** 13,000,000	23 **%**

(3) Indicate the activity(ies) for which you are applying. Check all that apply.

☒ Preliminary Engineering ☒ Project NEPA[2]

(4) Indicate the anticipated duration, in months, for these PE/NEPA activities (e.g., 36).

Number of Months: *30*

(5) List the name of the corridor where the underlying project is located.

Amtrak's Pacific Surfliner intercity corridor.

(6) Describe the underlying project location, using municipal names, mileposts, control points, or other identifiable features such as longitude and latitude coordinates. If available, please provide a project GIS .shp file as supporting documentation. This document must be listed in Section G.2 of this application.

This project is located in the City of San Diego, California, between Mileposts 257.9 and 260.5

(7) Provide a project abstract outlining the proposed PE/NEPA activities. Summarize the project narratives provided in the Statement of Work in 4-6 sentences. Capture the major milestones and outcomes of PE/NEPA activities and the anticipated benefits that will result from the completion of the underlying project.

This project completes preliminary engineering and project-level environmental documentation on improvements to the Pacific Surfliner corridor in the City of San Diego, California, including the construction of a 2.6 mile section of second main track and replacement of an aging railway bridge with a double track structure over the San Luis Rey River. This project will help alleviate residual train delays in the area and provide on-time performance benefits to intercity passenger trains. The proposed improvements will connect two existing sections of double track resulting in a 10.3 mile stretch of double track and will be completed in railway owned by the San Diego Metropolitan Transit System (MTS). Additional right of way may be needed for this project as the area is very constrained. Furthermore, this section of the corridor will potentially be shared with light rail and high-speed rail services. Two light rail tracks will also be constructed in this section of the corridor within the next five to ten years, necessitating the completion of this project. This section of the corridor is one alternative alignment currently under study by the California High-Speed Rail Authority (CHSRA) as a connection to San Diego. A project map is attached.

[2] Project NEPA documentation is required for the specific design alternative identified through Preliminary Engineering and related activities. Project NEPA documentation may also be referred to as site-specific NEPA or Tier II NEPA documentation.

(8) Indicate the source, amount, and percentage of matching funds for the PE/NEPA activities. The sum of the figures below should equal the amount provided in Section C.2. Click on the prepopulated fields to select the appropriate responses from the lists provided in type of source, status of funding, and type of funds. Dollar figures must be rounded to the nearest whole dollar. Identify supporting documentation that will allow FRA to verify the funding source, and list it in Section G.2 of this application.

Non-Federal Funding Sources	New or Existing Source?	Status of Funding[3]	Type of Funds	Dollar Amount	% of Total Project Cost	Describe Any Supporting Documentation to Help FRA Verify Funding Source
Local TransNet Program	Existing	Planned	Cash	$ 3,000,000	23 %	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
	New	Committed	Cash	$	%	
Sum of Non-Federal Funding Sources				$ 3,000,000	23 %	N/A

[3] Reference Notes: The following categories and definitions are applied to funding sources:

Committed: Committed sources are programmed capital funds that have all the necessary approvals (e.g., statutory authority) to be used to fund the proposed project without any additional action. These capital funds have been formally programmed in the State Rail Plan and/or any related local, regional, or state capital investment program or appropriation guidance. Examples include dedicated or approved tax revenues, state capital grants that have been approved by all required legislative bodies, cash reserves that have been dedicated to the proposed project, and additional debt capacity that requires no further approvals and has been dedicated by the sponsoring agency to the proposed project.

Budgeted: This category is for funds that have been budgeted and/or programmed for use on the proposed project but remain uncommitted (i.e., the funds have not yet received statutory approval). Examples include debt financing in an agency-adopted capital investment program that has yet to be committed in the near future. Funds will be classified as budgeted when available funding cannot be committed until the grant is executed or due to the local practices outside of the project sponsors control (e.g., the project development schedule extends beyond the State Rail Program period).

Planned: This category is for funds that are identified and have a reasonable chance of being committed, but are neither committed, nor budgeted (e.g., proposed sources that require a scheduled referendum, requests for state/local capital grants, and proposed debt financing that has not yet been adopted in the agency's capital investment program).