



Measure A Grade Separation Program FY 2014 Solicitation for Projects

MEASURE A GRADE SEPARATION PROGRAM GUIDELINES

August 5, 2013

INTRODUCTION

The San Mateo County Transportation Authority (TA) is pleased to announce a Solicitation for Candidate Projects from the Measure A Grade Separation Program. A total of up to \$1 million is available for the planning phase of work and up to \$5 million is available for preliminary engineering and environmental work. It is important to note that Measure A funding is not adequate to construct or upgrade all Candidate Projects listed in the TA Expenditure Plan.

APPLICATION MATERIALS

The Solicitation packet including these guidelines, an application form and other reference materials can be found at <http://www.smcta.com/callforprojects>.

SCHEDULE

Solicitation Information Presented to C/CAG TAC	July 18, 2013
Solicitation Issued	August 5, 2013
Project Applications due	September 13, 2013 4:00 PM
Evaluation Period	September-October 2013
Draft Recommendations/TA Board Approval	November-December 2013

Late applications will not be accepted.

- o Email: callforprojects@samtrans.com
- o Hard copies are also acceptable. Submit **6** sets to:
San Mateo County Transportation Authority
Attn: Joel Slavit
1250 San Carlos Avenue
P.O. Box 3006
San Carlos, CA 94070

Primary Application Contact:

Joel Slavit slavitj@samtrans.com 650-508-6476

ORGANIZATION

1. Reference Information
 2. Available Funding
 3. Eligibility
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1. BACKGROUND

In 2004, the voters of San Mateo County reauthorized the Measure A Program and approved an extension of the half-cent sales tax for transportation improvements for another 25 years (2009-2033). A provision of the Expenditure Plan provides that 15 percent of the sales tax revenues be allocated to eliminate at-grade rail crossings through the Grade Separation Program. It is estimated that the sales tax will generate \$225 million (in \$2004) over the 25-year life of the measure.

a. Definitions

The following terms are used throughout the document:

- i. Overall project: The entire project ultimately to be constructed.
- ii. Project scope: The specific project phases or elements for which Measure A funds are being requested in this application/cycle. The project scope may be a subset of the overall project.
- iii. Sponsor Agency: The applicant for Measure A funds for the project scope.
- iv. Implementing Agency: The agency implementing the project scope.

2. AVAILABLE FUNDING

A total of approximately \$5 to \$7 million is projected to be available to fund projects from this Solicitation.

3. ELIGIBILITY

a. Eligible Projects

The 46 candidate grade separation projects listed in the 2004 Expenditure Plan are eligible for these funds. Seven of these 46 candidate projects will have been completed as part of the San Bruno project or the San Mateo Poplar/Tilton project. See Exhibit A for List of Candidate Projects.

b. Eligible Sponsors (Applicants)

Per the TA Strategic Plan, eligible project sponsors for Measure A Grade Separation Funds are SamTrans, cities in San Mateo County, San Mateo County, and the Peninsula Corridor Joint Powers Board (JPB).

4. ROLES

Sponsor Agency and Implementation Agency Roles

While funding applications must be submitted by sponsor agencies for Measure A, there is flexibility in who implements the project scope. A sponsor agency may implement the project scope itself; or partner with an implementing agency.

Sponsor agencies must coordinate with the potential implementing agency in submitting applications for this cycle, if they are partnering with a different agency for implementation.

The roles and responsibilities of a sponsor-implementing agency partnership will need to be defined and documented either as part of a funding agreement or formal arrangement. The sponsor agency and the implementing agency may be different for different phases of a given project. Table 1 provides a model of how the responsibilities could be divided between a sponsor agency and implementing agency.

Table 1: Example of a Sponsor Agency – Implementing Agency Partnership

Sponsor Agency	Implementing Agency
<ul style="list-style-type: none"> • Political champion • Provide local input for project (policy/oversight) • Public spokesperson • Advocate for funding • Submit Governing Board resolutions and applications for Measure A funds • Signatory to Measure A funding agreements 	<ul style="list-style-type: none"> • Implementation of project scope • Technical project oversight/ management • Coordination with regulatory/review agencies • Invoicing and progress reporting to TA

While any eligible applicant can be the implementing agency for this solicitation, the JPB will be the implementing agency responsible for the construction phase of the project.

5. APPLICATIONS

a. Application Technical Assistance

The Sponsor Agency must consult and obtain concurrence from the JPB:

- 1) If the JPB will be the implementing agency for the project work scope (either as the lead implementer or to support implementation).
- 2) For the development of the project cost estimate.
- 3) To obtain a letter of concurrence for inclusion with the project application for consistency with the Caltrain/High Speed Rail (HSR) Blended System.

Sponsor Agencies are encouraged to contact the JPB early on in the solicitation process to ensure sufficient time for coordination and to obtain the required concurrence letter prior to the closing of the application deadline. The JPB contact for these activities is Liria Larano, Director, Engineering and Construction at laranol@samtrans.com or (650) 622-7828.

b. Governing Board Resolutions

A Sponsor Agency governing board resolution in support of the project application is required. If the sponsor agency will not be able to obtain a governing board

resolution prior to the application deadline, the application will be accepted on an interim basis with an endorsement letter from the sponsor agency's City Manager or Executive Director until an adopted governing board resolution can be obtained. If the application is to be considered for the programming and allocation of Measure A funds, an approved governing board resolution should be submitted to the TA no later than October 11, 2013 (after the application due date.)

c. Letters of Support

Applicants are encouraged to provide letters of support from stakeholders but this is not a requirement.

6. EVALUATION

All candidate projects submitted for funding consideration will be evaluated based on the evaluation criteria as listed below. The project merit evaluation criteria include both technical and qualitative criteria.

Technical Evaluation Criteria

I. Project Readiness – 20 percent

i. Quality of Application

- Overall project description
- Project scope description

ii. Project Readiness

- Attainable project schedule
- Ability to commence work immediately
- Outline of potential risk factors
- Project team/contracting process identified

iii. Policy Consistency

- Governing board policies/resolution on project
- Project listed in adopted plan at the state, regional, countywide or local level
- Community/stakeholder support
- Consistency w/ Caltrain/HSR blended system
- Consistency in rail alignment w/ neighboring crossings, if applicable

II. Safety and Traffic Improvement – 35 percent: Quantitative assessment based on the appropriate CPUC Grade Separation Priority List Index Number. Sponsor Agencies will be responsible for providing average daily

traffic volume, other related surface street information and accident history for the calculation of the Priority Index Number. TA staff will be responsible for obtaining all other railroad related data to finalize the Priority Index Number for the project scope.

For reference purposes, the formulas to obtain the relevant Index Number are contained in Exhibit B. Additional information about the CPUC's Grade Separation Program can be obtained directly from the current Order Instituting Investigation (OII) for the purpose of establishing the Grade Separation Priority List for Fiscal Years 2015 and 2016, located at: <http://docs.cpuc.ca.gov/PublishedDocs/Published/G000/M070/K299/70299839.PDF>. For equity purposes, the overall project cost share that will be input into the Priority Index Formula for allocation from the Section 190 Grade Separation Funds will be assumed at \$5 million.

- III. Project Need & Justification – 35 percent
 - i. Description of project need and benefit with respect to Caltrain and the local jurisdiction
 - ii. Project effectiveness measured by how project addresses need with respect to safety and traffic improvement
 - iii. Economic Development - project link as part of an MTC designated priority development area (PDA) or agency specific plan/general plan that is an impetus for transit oriented development
- IV. Funding – 10 percent: Budget, Funding Plan and Leverage, matching contribution and certainty of matching funds

7. OTHER POLICIES/GUIDELINES FOR THIS SOLICITATION

a. Timely Use of Funds

Project must remain active to retain allocated funding. Allocated Measure A funds will be expected to be fully expended on the project scope within three years. If there is no substantial activity on the project for a period of six months after the awarded sponsor has an executed funding agreement, which can be demonstrated through the submittal of valid invoices, the de-allocation of awarded Measure A funds may be considered.

b. Matching funds

There is no minimum match requirement for this cycle. However, the extent of leveraged non-Measure A funding for the project is an important consideration in the project evaluation. In-kind contributions must be documented and auditable.

c. Eligible Costs

Measure A funds shall be used only for direct eligible costs to complete the scope of work. Development of proposals/applications for Measure A funds are not eligible for Measure A Grade Separation Program funding. The TA or its authorized agents,

reserve the right to audit the sponsor project to ensure compliance with the terms of the sponsor's funding agreement.

d. Progress Reporting

Sponsors will be required to monitor and report project status during the implementation of the project scope of work. Progress reports will be due on a quarterly basis after the execution of a funding agreement.

e. Under-subscription

If funds are undersubscribed in this cycle, the TA reserves the right not to fund project applications which do not satisfy the project merit evaluation criteria.

f. Cost increases

Projects which are allocated Measure A funds are not guaranteed to receive additional Measure A funds if the cost of the project scope increases. It will be the responsibility of the sponsor to take the lead in identifying and securing additional funds. Sponsors can work with the TA and other funding entities to secure additional funds, as well as apply for additional Measure A funds through subsequent funding cycles.

g. Non-supplantation of funds

Sponsors are required to certify that Measure A funds awarded in this cycle will not replace existing funds.

h. Reimbursement

Project costs incurred prior to the execution of a funding agreement are not eligible for reimbursement. No funding advances will be allowed. Documentation must accompany all requests for reimbursement.

i. Scope change

Project sponsors seeking a change in project scope after TA Board approval of the Measure A allocation must obtain approval from the TA or risk losing the Measure A funds. Costs incurred that are not part of the Measure A-funded project scope will be ineligible for reimbursement.

EXHIBIT A

CANDIDATE GRADE SEPARATION PROJECTS

City	Street	City	Street
South San Francisco	Linden Avenue	San Mateo	25th Avenue
San Bruno	Scott Street	Redwood City	Whipple Avenue
San Bruno	San Bruno Avenue	Redwood City	Brewster Avenue
San Bruno	San Mateo Avenue	Redwood City	Broadway Avenue
San Bruno	Angus Avenue	Redwood City	Maple Street
Millbrae	Center Street	Redwood City	Main Street
Burlingame	Broadway	Redwood City	Chestnut Street
Burlingame	Oak Grove Avenue	Redwood City	Middlefield Road
Burlingame	North Lane	Redwood City	2nd Avenue
Burlingame	South Lane	Redwood City	5th Avenue
Burlingame	Howard Avenue	Atherton	Fair Oaks Lane
Burlingame	Bayswater Avenue	Atherton	Watkins Avenue
Burlingame	Peninsula Avenue	Menlo Park	Encinal Avenue
San Mateo	Villa Terrace	Menlo Park	Glenwood Avenue
San Mateo	Bellevue Avenue	Menlo Park	Oak Grove Avenue
San Mateo	1st Avenue	Menlo Park	Ravenswood Avenue
San Mateo	2nd Avenue	Menlo Park	Marsh Road
San Mateo	3rd Avenue	Menlo Park	Chilco Street
San Mateo	4th Avenue	Menlo Park	Willow Road SR 84
San Mateo	5th Avenue	East Palo Alto	University Avenue
San Mateo	9th Avenue		

CANDIDATE UPGRADE OF EXISTING GRADE SEPARATION PROJECTS

San Mateo	Poplar Avenue	San Mateo	Mt Diablo
San Mateo	Santa Inez Avenue	San Mateo	Tilton Avenue
		Menlo Park	Highway 101

EXHIBIT B

CPUC Formula For Existing At-Grade Crossing Nominated For Grade Separation

$$P = \frac{V * (T + 0.1 * LRT) * (AH + 1)}{C} + SCF$$

- P** - Priority Index Number
- V** - Average 24-Hour Vehicular Volume (1 point per vehicle)
- T** - Average 24-Hour Train Volume (1 point per train)
- C** - Project Cost Share to be Allocated from Grade Separation Fund
(1 point per thousand dollars, assume an allocation of \$5,000,000)
- LRT** - Average 24-Hour Light Rail Train Volume
(1 point per train, not applicable to the Caltrain and Dumbarton Rail Corridors)
- AH** - Accident History (up to 3 points per accident)
- SCF** - Special Conditions Factor
= BD+VS+RS+CG+PT+OF (up to 63 points)
 - BD** - Crossing Blocking Delay (up to 5 points)
 - VS** - Vehicular Speed Limit (up to 5 points)
 - RS** - Railroad Prevailing Maximum Speed (up to 7 points)
 - CG** - Crossing Geometrics (up to 17 points)
 - PT** - Passenger Trains (up to 10 points)
 - OF** - Other Factors: passenger buses, school buses, trucks carrying hazardous materials and community impact (up to 19 points)

CPUC Formula For Existing Grade Separations Nominated For Alteration Or Reconstruction

$$P = \frac{V * (T + 0.1 * LRT)}{C} + SF$$

- P** - Priority Index Number
- V** - Average 24-Hour Vehicular Volume (1 point per vehicle)
- T** - Average 24-Hour Train Volume (1 point per train)
- LRT** - Average 24-Hour Light Rail Train Volume
(1 point per train, not applicable to the Caltrain and Dumbarton Rail Corridors)
- C** - Project Cost Share to be Allocated from Grade Separation Fund (1 point per thousand dollars, assume an allocation of \$5,000,000)
- SF** - Separation Factor = WC + HC + SR + AS + POF + AP + DE
 - WC** - Width Clearance (up to 10 points)
 - HC** - Height Clearance (up to 10 points)
 - SR** - Speed Reduction (up to 5 points)
 - AS** - Accidents at or near structure (0.1 point per accident)
 - POF** - Probability of Failure (up to 10 points)
 - AP** - Accident Potential (up to 10 points)
- DE** - Delay Effects (up to 10 points)