

**State of California  
California Transportation Commission**

**UNIFORM TRANSIT APPLICATION (UTA)  
Instructions**

Programming a new project in the State Transportation Improvement Program (STIP) requires a Project Study Report (PSR) or, for a transit project, a PSR equivalent. Programming a new Proposition 116 Program (Prop 116) transit project also requires a PSR equivalent.

The California Transportation Commission's Uniform Transit Application (UTA) is a PSR equivalent. It can be used to program new projects, and to amend or replace existing STIP or Prop 116 transit projects.

Though the focus of a UTA is to define and justify the project scope, cost and schedule of the project components proposed for programming, it must provide at least a preliminary estimate of costs for all project components.

An application must be completed separately for each state fund source requested or for each action requested.

These instructions indicate which items in the Uniform Transit Application need to be completed, depending on the program involved, the funding requested, the type of mass transit project and activities involved, and the California Transportation Commission (Commission) action requested. Applicants should always refer to the Commission's adopted guidelines and policies, as well as applicable statutes, upon which this application is based.

Please type the agency name and project title in the header section of the application.

**Section I**, Items 1 through 3 include the applicant's project and agency information, assurances that eligibility and certification requirements are met.

**Section II**, Items 4 through 10, should be updated as appropriate with each new application request.

Resolutions or certifications must be provided to the State that show the applicant meets eligibility requirements and can enter into legally binding commitments. In order for an application requesting Prop 116 funds to be considered, the agency and the project/corridor must be listed as an eligible agency and project in Prop 116.

All application requests should be sent to the appropriate Regional Transportation Planning Agency, Local Transportation Commission, or County Transportation Commission for review and comment. For STIP projects, applications should also be sent to the Congestion Management Agency, if appropriate.

If the responsible regional agencies concur with the request, copies of the application should be forwarded to:

1. California Transportation Commission  
1120 N Street, Suite 2221  
Sacramento, CA 95814  
Attn: Executive Director
2. Department of Transportation  
1120 N Street, Room 3300  
Sacramento, CA 95814  
Attn: State Grants (MS-39)
3. Department of Transportation  
Caltrans District Office  
Attn: District Division Chief, Planning

## **SECTION I. APPLICATION, AGENCY INFORMATION AND CERTIFICATION**

This section identifies the project, the agency, and certifies the applicant's authority to apply.

### **Item 1. CTC Action Requested (this application)**

Please ensure that the project meets the basic eligibility criteria for the program in which you are seeking funding or programming before continuing. As part of the eligibility requirements, please keep in mind that the programs vary in terms of the time frame for which funds are requested.

Describe the specific action the agency is requesting for each funding program, cite the Public Utilities Code for Prop 116 funds, give reason for amendments, and explain how requirements will be met for AB 3090 requests.

- a) "Project Title" should be the name of the project, a brief, unique reference that may be used to identify the project without other descriptive terms (e.g., the Los Angeles-Ventura Commuter Rail Project for Capital Improvements and Right-of-Way Acquisition). Check the project type that would be implemented.
- b) Identify the city(s) or county(s) in which the project is located.
- c) Identify project limits, which include start and end points. Use post mile or cross streets where appropriate.
- d) List the total project cost (this should include funding requested from state, federal, local and other sources).
- e) Identify the total state funding participation.
- f) Identify the amount of funds requested by state fund source(s) for this project application.
- g) Application submittal date should be changed each time the application is submitted.

### **Proposition 116 Project Application Approval/Amendment**

Commission approval of a Project Application allows an agency to begin expending local funds on a Prop 116 project, once it has executed an agreement with The Department. It indicates that the Commission has conceptually approved a project and the applicant agency may begin to expend funds for eligible pre-construction activities which may be reimbursed by the State. Project application approval does not constitute AB 3090 approval to allow an agency to advance a project with local funds prior to the year programmed.

### **STIP Adoption and STIP Amendments**

Adoption applies to the biennial STIP process, when a project or an entire Regional Transportation Improvement Program (RTIP) is nominated by the regional agencies for consideration by the Commission.

Amendment is a change to a programmed project or the addition of a new project into an adopted STIP. A STIP amendment to make a change to an already programmed project shall cite the reason for the request and identify, at a minimum, proposed changes to:

- 1) Project Cost, including a revised financial plan, specifically changes in fund source and amounts;
- 2) Project Scope and description, and level of service;
- 3) Project Schedule, specifically fiscal year changes.

### **AB 3090 Approval - Advancing Projects and Reimbursement**

Applies to a mass transit project where the agency is requesting to advance project completion with local funds prior to its programmed year, and to be reimbursed (with state funds in the future or with a substitute project in the original year programmed). The process has seven steps:

- 1) the local agency reaches agreement with its regional transportation agency to advance local funds for a project in the STIP and require later cash reimbursement;
- 2) the local agency asks the Department to draw up an agreement covering project development, right-of-way, construction, and reimbursement, and to prepare and submit a program amendment to the Commission;
- 3) the local agency and the Department agree on, approve, and sign the reimbursement agreement;
- 4) the Commission approves the program amendment, deleting the existing project in the program and adding an equivalent reimbursement amount, usually in a later year due to program-wide lack of funding;
- 5) the local agency delivers and builds the project in accordance with the project delivery schedule in the reimbursement agreement;
- 6) the local agency submits to the Department for reimbursement of completed work as provided in the reimbursement agreement; and
- 7) the Department reimburses the local agency for completed work within the terms of the reimbursement agreement.

The Commission's AB 3090 Guidelines (G-02-13) state that the Uniform Transit Application can serve as the written request and **no further information will be needed if 1)** AB 3090 action was indicated and **detail** for meeting the requirements is evident in the application, and **2)** the following steps were completed:

- The applicant must have reached an agreement with the RTPA to advance funding for a project in the STIP which defined later reimbursement with cash.
- The local or regional agency must act as sponsor of the advanced project, and funding for the project must come from an account controlled and administered by that agency.
- The applicant must have asked the Department, through the appropriate district office, to draw up a reimbursement agreement covering project development, right-of-way and construction work, and reimbursement, for the project being advanced, and to prepare and submit a program amendment to the CTC.
- The applicant and the Department agreed on, approved and signed the reimbursement agreement.

## **Item 2. Agency Information**

- a-c) For all applications, list Lead Applicant Agency, address, contact person, phone number, and email address.
- d-f) For Prop 116 applications, list Recipient Agency (if not the applicant agency), address, contact person, phone number, and email address.
- g-i) For Prop 116 applications, list Co-Applicant Agency (if applicable) name, address, contact person, phone number, and email address.
- j) Signature Certification: authorized officer(s) of the agency(s) are confirming the validity of the project and information, and the authorization to apply for funding.

## **Item 3. Applicant Authority**

If the applicant's policy board has delegated to the general manager, executive director or chief executive officer, by resolution, the authority to enter into legally binding commitments with the State, you should submit a copy of the resolution delegating the authority.

If the applicant's representative has delegated authority, assurances that the agency's policy board will abide by the conditions, requirements, or statements of fact shall be demonstrated by checking off the list of eligibility

requirements. If the representative does not have agency delegation, the agency must provide a resolution assuring compliance with the eligibility requirements on the list (attach copy of resolution).

## **SECTION II. Project Scope, Description, System Characteristics, Schedule, Environmental and Financial Information**

### **Item 4. Project Scope**

- a) Provide entire project name (do not abbreviate or use acronyms).
- b) Describe what is the overall purpose of the project.
- c) Include a detailed description of the project's scope, in addition, provide the start/end dates and cost estimate for each project phase in the table provided.
- d) Please provide in dollar figures, the total cost estimate of the project.
- e) Include the estimated start date of the project.
- f) Include the estimated end date of the project.
- g) Describe in detail, the purpose or reasoning for an amendment, if one is needed.

### **Item 5. Project Description**

a) Project Description - provide a comprehensive description of the overall project in terms of the capital improvements to be made, and increased level of services and performance goals to be achieved. Describe all major activities to be accomplished. Information that will describe the project can include:

- ❖ Track Improvements - length and type (siding, double-tracking, grade separation, signals..)
- ❖ Number and type of Locomotives, Passenger Vehicles or Vessels to be acquired.
- ❖ Number and Location of New Stations.
- ❖ Post Miles - Origination/Destination.
- ❖ Passenger Volumes - Passengers/Day.
- ❖ Number of Trains, Cars/Train.
- ❖ Operation Hours, Headways.

Indicate if this request is for a segment, phase or stage of a larger project. If other major project (all modes) needs to be completed in order for the project to be fully operational, list each project.

The closer a project is to the implementation date, the more specificity on project cost, schedule and activities should be presented in this application.

Describe provisions for carrying bicycles in rail cars or for bicycle parking at stations. Prop 116 requires such provisions and facilities (this question is optional for other fund sources).

Prop 116 requests for new rail or transit starts and extensions shall include a plan for integrating bus/rail service to avoid duplicative and competing services. The Commission's Transit Integration Plan Guidelines (G-91-19) require that bus/rail schedules be coordinated to provide "seamless" service to the transit patron. The Transit Integration Plan Guidelines may be obtained from the Commission office.

Prop 116 requests for commuter or intercity rail rolling stock must meet Prop 116 California Rail Car Performance Specifications, which can be obtained from The Department Division of Rail. To address air quality conformity issues please list motive source (e.g., diesel, electric, natural gas), the number of locomotives and passenger cars to be acquired. Indicate the degree of compatibility with proposed or existing fleet.

b) Project Right-of-Way Requirements - Please address the following items when right-of-way purchase or easements are involved in the project, if available at the time application/programming is requested.

Describe the rail agencies (public and private) that use the corridor; the type of rail services provided (e.g., freight, excursion, light rail, commuter or intercity rail passenger service); how the assets and maintenance costs are shared; and the disposition of the capital assets among the various agencies.

Describe provisions to acquire the property or reference legal agreements for capital improvements and operating requirements. Identify the counties involved, and if right-of-way has not been secured, describe the status of the negotiations. Also, specify any portion of the proposed right-of-way currently owned by a railroad corporation.

Provide report on the appraisal cost and easement price of any rail right-of-way which will be included in this application as required by the Commission's Rail Right-of-Way Review Policy (G-95-09).

The Commission's Hazardous Waste Identification and Clean-Up for Rail Right-of-Way Policy (G-91-2) requires the applicant to exercise full due diligence to determine the absence/presence of hazardous wastes and indemnify the State of responsibility for current or future clean-up costs. Please address the items below in that context.

Provide a resolution from the governing board which certifies that the applicant has purchased the property, or obtained permanent easement or operating agreements, and that additional state funds will not be sought for clean-up, damages, or liability costs associated with hazardous wastes on or below acquired property's surface.

Provide a resolution from the governing board certifying that all rail right-of-way properties have been investigated and are clean; or if hazardous wastes were found, certifying that:

- the clean-up of discovered hazardous waste has been completed prior to acquisition of the property and that the appropriate federal or state agency has reviewed and approved the actual clean-up; or
- if hazardous wastes are known to exist prior to acquisition and if the applicant determines that time is of the essence for acquisition, then and in that event, an enforceable agreement will be entered into requiring the responsible party to clean all hazardous wastes by a certain date, with the option of funds sufficient for the clean-up costs deposited in escrow by the seller; or
- the seller from whom properties have been acquired will retain liability for any hazardous waste investigation and/or clean-up, and damages discovered subsequent to the transfer of title.

c) Project Maps - please attach a descriptive location map indicating cross streets and an area map indicating city and county boundaries.

## **Item 6. Project Benefits**

- a) Describe how this project contributes to the development of a coordinated and balanced regional transportation system which includes other rail systems and other travel modes. The project's impact on the overall transportation system development should be explained.
- b) Describe how this project will contribute to the enhancement of an efficient and effective intercity, commuter, and/or urban passenger rail system, or transit system. The project's capacity or contribution to improving or extending the rail system should be explained.
- c) If this request includes a feasibility or planning study, explain the purpose, intent, and objective of the study. Please list other transportation planning studies or documents that support or justify this project. (Commission policy is not to fund feasibility or planning studies using Prop 116 or STIP funds, except as provided by statute.)
- d) If this project involves replacement or rehabilitation, explain how the improvements such as on-time performance, reliability, and passengers carried during peak periods results in an improvement to the system. Identify if this project is on an intercity, short-line or other type of rail project requiring rehabilitation.

- e) Please explain how the project is cost-effective, has the financial funding for capital and operational improvements and can be operated on an ongoing basis. Explain the assumptions used which demonstrate how the project is cost-effective, discuss the certainty of funding for the project, and discuss the likelihood of ongoing funding for the operation and maintenance of the project.

## **Item 7. System Characteristics**

- a) Applicants must demonstrate that the proposed project is operationally viable and that adequate advance operations planning has occurred. Due to the lengthy construction period involved with many projects, it is possible that full operational plans will not be complete. While completed plans are preferred, information used to respond to this question may be based on preliminary plans. In addition, identify activities required to complete the operating plan and provide a schedule showing the start and completion dates for each of these activities.
- b) Please note that farebox revenues should be developed independently from operating costs. Farebox revenues should be developed using projected ridership figures and the anticipated fare structure. Farebox revenues should not be calculated by applying a set percentage to operating costs. If a final fare structure has not been developed, the use of a preliminary fare structure is acceptable. Please document all assumptions.

The Commission requires that transit services be cost effective and that the service at a minimum match the Commission policy requirements established for the farebox recovery ratio of 40% for commuter rail and 55% for intercity rail for existing operations, or within a three year time period from the start of operations, for new services. For buses in urban areas it's usually 20% and in rural areas it's usually 10%. It's possible for agencies to be held to a higher farebox measure if it's imposed by their planning agency. Also, agencies might be tied to a higher farebox measure because of the requirement in the TDA law that holds agencies to the farebox measure they had during 1978/79, if the ratio was greater than the aforementioned 20% or 10%. The best way to find out the ratio of an operator, is asking the planning agency what ratio they have their operators adhere to. Farebox ratios shall be calculated consistent with current statutes.

The farebox recovery ratio for urban rail varies; a reasonable recovery ratio shall be recommended to the Commission by the Peer Review Committee (PRC) which reviews rail transit extensions and their integration with bus service. The PRC shall recommend a farebox recovery ratio either following or based upon current statutes (Transportation Development Act) for the service area that the transit operator is located.

- c) Describe the assumptions and process that were used to develop the ridership projections shown in the request. Provide the estimated passenger carrying capacity for this service.
- d) Describe the assumptions and process for how the operating cost projections were developed.
- e-l) Information must be provided for the current system and the first and third year of operations. The first year of the new service (Line Year 1) and the third year of the new service (Line Year 3) is based on data as applicable to the project for those years. System Year 1 is the sum of Current System and Line Year 1 information. System Year 3 is the sum of Current System and Line Year 3 information.

Be sure that all data components are identified using the same fiscal year. All inflation and deflation assumptions related to costs, revenues and ridership should be documented in the application. Additionally, the method of applying any inflation or deflation rates should be described. Operating costs and revenues should be shown for the same operating periods and inflation factors should be consistently applied to both of these items.

If planning studies have been completed for other operational years, this information may be used to supplement the information requested.

## **Item 8. Overall Project Schedule**

An overall project schedule should reflect the amount of information available at the time the programming/project application approval is requested. The more complex the project, the more precise the project development schedule should be. Moreover, the project development schedule detail should allow the Department at the time an allocation request is made, to be able to track a project's implementation progress. A project development schedule should at a minimum include the specific activities under each component (i.e., PA&ED, PS&E, Right-

of-Way, construction, and rolling stock, if applicable) and appropriate time frames, depending upon the anticipated schedule to complete the activities proposed for funding.

### **Item 9. Environmental Clearance**

Identify the appropriate category and provide information on the status of the environmental clearance for the project. If appropriate, provide documentation to demonstrate that the requirements have been met.

Please refer to the *California Environmental Quality Act*- Public Resources Code 21000 et seq. and to the *National Environmental Policy Act* - 42 USC, Sec. 4321 et seq.

### **Item 10. Project Financial Information**

Funding from STIP and Prop 116 funds are restricted by statutes and guidelines in terms of the activities for which they may be used. For Prop 116 projects, please indicate the Public Utilities Code Section number which contains the project and provide a description.

The PRIOR column reflects all State funds previously approved for the project. The CURRENT column is the amount of funding requested in this application. The FUTURE column reflects amounts not currently programmed but which should be provided to show total project costs.

- a) Complete the attached **Project Overall Funding Plan** showing all sources of capital funds that will be used to finance the total project cost. Plan shall itemize the state funding sources, the funds provided by Recipient or other funding sources, if any (agencies may provide their own funding plan format, provided all required information is presented.)
- b) Describe the assumptions and process for how the estimated capital costs were developed.
- c) Describe the prior funding commitments that the agency has obtained for this project.
- d) Complete the attached **Project Financial Plan** showing estimated expenditures and reimbursements for each project component by funding source (agencies may provide their own financial plan format, provided all required information is presented.)