

Decision \_\_\_\_\_

**BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA**

Order Instituting Investigation for the purpose of establishing a list for the fiscal years 2016-2017 and 2017-2018 of existing crossings at grade of city streets, county roads or state highways in need of separation, or existing separations in need of alterations or reconstruction in accordance with Section 2452 of the California Streets and Highways Code.

I. \_\_\_\_\_

**ORDER INSTITUTING INVESTIGATION**

**Summary**

This Order Instituting Investigation (OII) is for the purpose of establishing the Grade Separation Priority List for the fiscal years 2016-2017 and 2017-2018. The OII requests project nominations from interested parties for existing crossings at grade of city streets, county roads, or state highways in need of grade separation, or existing grade separations in need of alterations or reconstruction in accordance with Section 2452 of the California Streets and Highways Code. Completed nomination applications must be filed by October 23, 2015. Nomination forms and instructions are contained in this OII and are available on-line at the California Public Utilities Commission’s website at: <http://www.cpuc.ca.gov/PUC/safety/Rail/Crossings/funding.htm>.

**1. Background**

Section 2452 of the California Streets and Highways (S&H) Code requires the California Public Utilities Commission (Commission) to establish the Grade Separation Program Priority List (Priority List) for projects and furnish it to the California Transportation Commission (CTC) by July 1st of each year for use in the fiscal year (FY) beginning on that date. The Priority List establishes the relative priorities for allocation of state funds to qualified projects and procedures for administering these funds.<sup>1</sup> These projects include construction of new grade separations to replace existing at-grade rail crossings or alteration or reconstruction of existing grade separations on city streets, county roads, and state highways, which are not freeways as defined in S&H Code § 257. For a project that eliminates an existing at-grade crossing or alters or reconstructs an existing grade separated crossing, an allocation of up to 80 percent of the estimated cost of the project may be made with the local agency and railroad each contributing 10 percent.

The CTC is responsible for allocating and distributing the funds to qualified projects. The CTC has delegated this responsibility to the California Department of Transportation (Caltrans).<sup>2</sup> Requirements for filing an allocation application for Priority List projects with Caltrans are set out in the *California Code of Regulations, Title 21, Division 2, Chapter 13, Grade Separation*

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<sup>1</sup> S&H Code § 2450 *et seq.*

<sup>2</sup> S&H Code § 2453. S&H Code § 2450 *et seq.*

*Projects - Applications for Allocations or Supplemental Allocations* (Chapter 13).

A copy of Chapter 13 is attached as Appendix 1 to this Order Instituting Investigation (OII). S&H Code § 190 requires the State's annual budget to include \$15 million for funding of these Priority List projects.

In Investigation (I.) 99-07-001, the Commission established a new procedure for adopting a two-year Priority List, due to statutory time limitations. For this proceeding to be completed in a timely manner, the Priority List established by this OII must serve for both FYs in the investigation. The Commission adopts the Priority List for the first FY by interim decision issued before that fiscal year begins, then revises the Priority List for the second FY by deleting projects for which funds were actually allocated in the first FY, adopting a revised Priority List by final decision before the second FY begins. The two-year funding cycle begins again with the issuance of a new OII for the creation of a new Priority List for the following two FYs.

Interim Decision (D.) 14-06-010, dated June 13, 2014, established the 57<sup>th</sup> Priority List for FY 2012-2013. By D.14-06-056, The Commission corrected non-substantive errors in D.14-06-010. By D.15-06-xxx, the Commission issued its final decision in I.13-06-014, establishing the 58<sup>th</sup> Priority List for FY 2015-2016, and furnished the list to Caltrans and CTC before July 1, 2015. That final list will expire on June 30, 2016, necessitating the establishment of a new Priority List for FYs 2016-2017 and 2017-2018.

In this OII, the Commission will consider projects nominated by cities, counties, a separation-of-grade district, and any public entity that provides rail passenger transportation services for inclusion on the Priority List for FYs 2016-2017 and 2017-2018.

**2. Procedures for Nominations**

The procedures adopted by the Commission to process this OII require local agencies to provide planned grade separation project nominations to the Commission in response to a request for nominations in the ordering paragraphs of the new OII. The Commission's Safety and Enforcement Division (SED) reviews each nominated project to ensure that it is eligible for the Grade Separation Program and prepares and provides interested parties with a draft Priority List. The Commission also holds a series of hearings so that nominating agencies may present each proposal, answer questions about its content, and confirm its accuracy. Attendance and participation in these hearings is mandatory for any project proponent.<sup>3</sup> The Commission's SED adjusts the draft Priority List in accordance with evidence received at the hearings, as appropriate. The final draft Priority List is then presented to the Commission for adoption by interim decision. Projects for construction of new grade separations for existing at grade rail crossings and alteration or reconstructions of existing grade separations are included in the Priority List.

Local agencies in California desiring to have a crossing separation project considered for inclusion in the Grade Separation Priority List for FYs 2016-2017,

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<sup>3</sup> In addition to submitting the GSN-1 or GSN-2 Form, each party, or its representative, nominating a crossing for inclusion in the Priority List is required to appear in person at the hearings to present evidence concerning the nomination. Supplemental data may be submitted at the hearings in support of a nomination. The data may include facts not known at time of nomination. The Commission staff must receive verification of all supplemental data no later than one week after the last scheduled day of hearings. Appearance schedules will be mailed to the interested parties 10 days prior to the scheduled hearings, usually held in the Commission offices in San Francisco and/or Los Angeles. All parties will be notified of the dates and locations of the hearings. Appearances will be limited to one witness in support of each project or railroad.

and 2017-2018, to be established under S&H Code § 2452, shall provide an original Grade Separation Nomination Form GSN-1 or GSN-2 (GSN-1 Form and GSN-2 Form) with two stapled (not bound) hard copies and one electronic copy in portable document format to:

California Public Utilities Commission  
Attn: Ken Chiang, P.E.  
Utilities Engineer  
320 West 4<sup>th</sup> Street, Suite 500, Los Angeles, CA 90013  
[ykc@cpuc.ca.gov](mailto:ykc@cpuc.ca.gov).

Applications on GSN-1 or GSN-2 forms may be mailed or delivered in person. All nominations are due to the Commission in Los Angeles postmarked no later than Friday, October 23, 2015. Applications delivered in person are due no later than 4:00 p.m. on October 23, 2015. Applications postmarked or delivered after the deadline will not be processed. Applications are not accepted via fax. Each party is also required to provide one copy of its nomination(s) to:

Caltrans - Division of Rail  
Attn: Lauren Clauson, Chief  
1120 N Street, MS 74  
Sacramento, CA 95814.

Each nomination shall include information pursuant to Public Utilities (Pub. Util.) Code § 2454, applicable Commission decisions, and Appendix 4 or 5 of this investigation. Failure to supply all of the requested information or to appear before the Commission will constitute grounds for exclusion of a project from the Priority List.

Data submitted in the nomination must be based on verifiable facts occurring on or before October 23, 2015. Speculative data involving events anticipated to occur at some time in the future will not be considered. Applications for separations of existing-grade crossings with estimated data

(vehicle counts, train counts, blocking delay, etc.), and do not include the project costs, will not be processed or included on the Priority List. Nomination(s) must not include multiple projects that are separate and distinct and clearly severable. The combining of severable projects precludes the Commission from effectively determining which projects are most urgently in need of separation or alteration as required by S&H Code § 2452. All consolidation projects that involve two or more existing at-grade crossings must satisfy these criteria to be considered.

All project proposals to eliminate existing grade crossings shall include, for each crossing: the crossing location, crossing geometrics, average daily vehicle and train volumes, blocking delay, speed limits, accident data, et cetera (*see* Sections B through H of the GSN-1 Form in Appendix 4). Applications with missing or incomplete data will not be accepted for the Priority List evaluation.

A nominating party may elect to exclude pre-construction costs (such as engineering, right-of-way, preparation of environmental impact reports, or utility relocation) if those costs are less than the local agency's share of the total costs.<sup>4</sup> The nominating party may be required to submit evidence in support of the fact that the funds have been expended. To the extent that pre-construction costs are excluded from a project's cost for the purpose of a nomination, the costs will be considered as nonparticipating, that is, the railroad will not be required to contribute 10 percent of the excluded pre-construction costs. Parties anticipating the need for an allocation greater than \$5,000,000 shall be prepared to present evidence at the hearings to justify the additional award.<sup>5</sup>

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<sup>4</sup> S&H Code § 2454.

<sup>5</sup> S&H Code 2454 (d)(1)

**3. Ranking Formula**

In accordance with S&H Code § 2452, the Commission is responsible for establishing criteria used in determining the priority of projects nominated for separation or alteration. The Commission does so using formulas initially developed by the Commission in 1975, but modified since that time. There are two formulas used: 1) One for ranking projects proposing new grade-separation structures for existing at-grade crossings; and 2) One for ranking projects proposing alteration or reconstruction of existing grade separated structures. The Commission adopted the most recent priority evaluation formulas in I.07-07-006, issued on July 12, 2007, which are contained in Appendix 2 - Priority Index Formulas, of this OII.

**4. Ranking Projects Under Construction**

S&H Code § 2460.7 authorizes a local agency to construct a project on the Priority List prior to the time that it reaches a high enough position for funding. The following conditions will be applied to prioritize grade separation projects on which construction has commenced:

1. The project must have been on the Priority List for the fiscal year during which construction commenced.
2. The project must be re-nominated for the fiscal year during which funding consideration is desired.
3. The re-nomination must include the same data as included in the nomination for the fiscal year during which construction commenced, but shall also include the actual cost data.
4. Cost data included in the re-nomination shall be:
  - a. Final costs for completed projects, or
  - b. Current anticipated final costs for projects still under construction.

All projects re-nominated under the provisions of S&H Code § 2460.7 shall also comply with the filing requirements in this OII.

#### **5. Notice and Distribution**

After this OII is adopted, the Commission's Executive Director must serve a copy of this OII on the service list of I.13-06-014, including but not limited to: every railroad corporation operating in California; Caltrans; CTC; League of California Cities; California State Association of Counties; and Light Rail Transit Agencies. The Commission's SED must then finalize and mail the notice appearing in Appendix 3 - OII Interested Party Notice Letter, of this OII, to the known railroads, light rail transit agencies, cities, counties and other interested parties. Interested parties may download this OII from the Commission's website at [www.cpuc.ca.gov](http://www.cpuc.ca.gov). This OII will also be published on the Commission's Daily Calendar. Project nomination forms and instructions are found in Appendix 4, GSN-1 Form and in Appendix 5, GSN-2 Form, of this OII.<sup>6</sup>

#### **6. Preliminary Scoping Information**

The scope of this proceeding will include all issues raised in this OII, but will not be limited to these issues. Any party may suggest related issues (i.e., issues involving the existing crossings at grade of city streets, county roads, or state highways) for Commission consideration, in accordance with the Commission's Rules of Practice and Procedure.<sup>7</sup>

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<sup>6</sup> For an existing at-grade crossing nominated for separation, applicant should complete a GSN-1 Form (Appendix 4). For an existing grade separation nominated for alteration or reconstruction, a complete a GSN-2 Form (Appendix 5).

<sup>7</sup> <http://www.cpuc.ca.gov/PUC/documents/codelawspolicies.htm>



The assigned Administrative Law Judge (ALJ) will, if necessary, convene a prehearing conference to develop a service list for this proceeding and to further delineate issues related to the scope and schedule of this proceeding.

This proceeding is categorized as quasi-legislative because it establishes a Priority List affecting an entire regulated industry.

**Parties and Service List**

~~This OII is served on the service list for I.13-06-014, which we close today. The service list for today's OII shall initially be the service list for I.13-06-014 and all entities on that list will automatically be transferred to the service list for this new OII.~~

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~~Within 20 days from the mailing date of this order, any person or representative of an entity interested in monitoring or participating in this proceeding that is not already on the list for I.13-06-014 should send a letter to the Commission's Process Office ([process\\_office@cpuc.ca.gov](mailto:process_office@cpuc.ca.gov)), with a copy to ALJ Seaneen M. Wilson ([smw@cpuc.ca.gov](mailto:smw@cpuc.ca.gov)). Hard copies of letters should be sent to 505 Van Ness Avenue, San Francisco, California 94102. The letters should specify the docket number of this rulemaking in the subject line, and must include the name, address, phone number, organization and e-mail address of those who wish to be added to the service list. Subsequently, intervenors that wish to request party status should do so via a motion for party status.~~

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~~When individuals write to the Process Office, their letter should specify whether they wish to be a "Party" (i.e., actively participate in the proceeding by filing comments or appearing at workshops or hearings) or "Information Only" (i.e., not participate, but simply receive electronic service of all documents in this rulemaking). Those who seek to be a "party" should indicate how they intend to~~

~~participate in the proceeding. Letters may be sent either by electronic mail or regular mail, but must be received by the Commission within 20 days of the mailing of this order.~~

Addition to the official service list is governed by Rule 1.9(f) of the Commission’s Rules of Practice and Procedure.

Any person will be added to the “Information Only” category of the official service list upon request, for electronic service of all documents in the proceeding, and should do so promptly in order to ensure timely service of comments and other documents and correspondence in the proceeding. (See Rule 1.9(f).) The request must be sent to the Process Office by e-mail ([process\\_office@cpuc.ca.gov](mailto:process_office@cpuc.ca.gov)) or letter (Process Office, California Public Utilities Commission, 505 Van Ness Avenue, San Francisco, California 94102). Please include the Docket Number of this rulemaking in the request.

Persons who file responsive comments thereby become parties to the proceeding (see Rule 1.4(a)(2)) and will be added to the “Parties” category of the official service list upon such filing. In order to assure service of comments and other documents and correspondence in advance of obtaining party status, persons should promptly request addition to the “Information Only” category as described above; they will be removed from that category upon obtaining party status.

Persons may monitor the proceeding by subscribing to receive electronic copies of documents in this proceeding that are published on the Commission’s website. There is no need to be on the official service list in order to use the subscription service. Instructions for enrolling in the subscription service are available on the Commission’s website at <http://subscribecpuc.cpuc.ca.gov/>.

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**O R D E R**

**IT IS ORDERED** that:

1. An investigation on our own motion is instituted for the purpose of establishing a new Grade Separation Priority List for fiscal years 2016-2017 and 2017-2018 of existing railroad grade crossings of public streets, roads, or highways most urgently in need of separation, and existing separated structures most urgently in need of alteration or reconstruction as required by California Streets and Highways Code Section 2452.

2. The Executive Director must serve a copy of this Order Instituting Investigation on the service list for I.13-06-014, including but not limited to the following:

- a. Every railroad corporation operating in California;
- b. California Department of Transportation;
- c. California Transportation Commission;
- d. League of California Cities;
- e. California State Association of Counties; and
- f. Light Rail Transit Agencies.

3. Local agencies in California desiring to have a crossing separation project considered for inclusion in the Grade Separation Priority List for fiscal years 2016-2017, and 2017-2018, to be established under California Streets and Highways Code Section 2452, shall provide the original Grade Separation Nomination Form GSN-1 or GSN-2 with two stapled (not bound) hard copies and one electronic copy in portable document format to:

California Public Utilities Commission  
Attn: Ken Chiang, P.E.  
Utilities Engineer  
320 West 4<sup>th</sup> Street, Suite 500  
Los Angeles, CA 90013  
Email: [ykc@cpuc.ca.gov](mailto:ykc@cpuc.ca.gov)

4. Applications on GSN-1 or GSN-2 forms may be mailed or delivered in person.
5. All nominations are due to the California Public Utilities Commission in Los Angeles postmarked no later than Friday, October 23, 2015. Applications delivered in person are due no later than 4:00 p.m. on October 23, 2015. Applications postmarked or delivered after the deadline will not be processed. Applications are not accepted via fax.

6. Each party is also required to provide one copy of its nomination(s) to:

**California Department of Transportation (Caltrans):**  
Caltrans - Division of Rail  
Attn: Lauren Clauson, Chief  
1120 N Street, MS 74  
Sacramento, CA 95814

7. Each nomination shall include information required pursuant to Public Utilities Code Section 2454, applicable Commission decisions, and Appendix 4 or 5 of this investigation, including but not limited to:
  - a. For an existing at-grade crossing nominated for separation, a completed Grade Separation Nomination GSN-1 Form (Appendix 4).
  - b. For an existing grade separation nominated for alteration or reconstruction, a completed Grade Separation Nomination GSN-2 Form (Appendix 5).
  - c. A legible location map of the project, on letter size (8 1/2" x 11") sheet of paper showing the existing railroads and roadway system.

d. Two current 8" x 10" size photographs of the crossing(s), one (1) from each direction of approach, shall be included with the original nomination. Other nomination copies may contain photocopies of the photographs.

8. Data submitted in the nomination must be based on verifiable facts occurring on or before October 23, 2015. Speculative data involving events anticipated to occur at some time in the future will not be considered. Applications for separations of existing at-grade crossings with estimated data (vehicle counts, train counts, blocking delay, et cetera), other than the project costs, will not be processed or included on the Priority List.

9. Nomination(s) must not include multiple projects that are separate and distinct and clearly severable. The combining of severable projects precludes the Commission from effectively determining which projects are most urgently in need of separation or alteration as required by California Streets and Highways Code Section 2452. All consolidation projects that involve two or more existing at-grade crossings must satisfy these criteria to be considered.

10. All project proposals to eliminate existing at-grade crossings shall include, for each crossing: the crossing location, crossing geometrics, average daily vehicle and train volumes, blocking delay, speed limits, accident data, et cetera (*see* Sections B through H of the GSN-1 Form in Appendix 4). Applications with missing or incomplete data will not be accepted for the Priority List evaluation.

11. A nominating party may elect to exclude pre-construction costs (such as engineering, right-of-way, preparation of environmental impact reports, or utility relocation) if those costs are less than the local agency's share of the total costs (California Streets and Highways Code Section 2454). The nominating party may be required to submit evidence in support of the fact that the funds have been expended. To the extent that pre-construction costs are excluded from

a project's cost for the purpose of a nomination, the costs will be considered as nonparticipating, that is, the railroad will not be required to contribute 10 percent of the excluded pre-construction costs.

12. In addition to submitting the GSN-1 or GSN-2 Form, each party, or its representative, nominating a crossing for inclusion in the Priority List is required to appear in person at the hearings to present evidence concerning the nomination. Supplemental data may be submitted at the hearings in support of a nomination. The data may include facts not known at time of nomination. The California Public Utilities Commission staff must receive verification of all supplemental data no later than one week after the last scheduled day of hearings.

13. Appearance schedules will be mailed to the interested parties 10 days prior to the scheduled hearings, usually held in the California Public Utilities Commission offices in San Francisco and/or Los Angeles. All parties will be notified of the dates and locations of the hearings. Appearances will be limited to one witness in support of each project or railroad.

14. Parties anticipating the need for an allocation greater than \$5,000,000 shall be prepared to present evidence at the hearings to justify the additional award pursuant to California Streets and Highways Code Section 2454 (d)(1).

15. Failure to supply all of the requested information or to appear before the Commission will constitute grounds for exclusion of a project from the Grade Separation Priority List.

This order is effective today.

Dated \_\_\_\_\_, at San Francisco, California.

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## **APPENDICES**

- APPENDIX 1: California Code of Regulations, Title 21, Division 2, Chapter 13, Grade Separation Projects**
- APPENDIX 2: Priority Index Formulas**
- APPENDIX 3: OII Interested Party Notice Letter**
- APPENDIX 4: Grade Separation Nomination GSN-1 Form**
- APPENDIX 5: Grade Separation Nomination GSN-2 Form**
- APPENDIX 6: List of Railroads**

**APPENDIX 1: California Code of Regulations, Title 21, Division 2,  
Chapter 13, Grade Separation Projects**

**GRADE SEPARATION PROGRAM**

TITLE 21. Public Works  
Division 2. Department of Transportation  
Chapter 13. Grade Separation Projects - Applications for Allocation or  
Supplemental Allocations

Article 1. Applications

§1552. Last Date to File

April 1 of each fiscal year is the last date on which applications for allocation of grade separation funds in that fiscal year can be filed; provided, however, if April 1 is a Saturday, Sunday, or a State of California holiday, then the last date of filing shall be the next business day following April 1. Filing is accomplished by filing the application with the Department of Transportation in the manner hereafter stated.

§1553. Place to File

The complete application in triplicate must be received in the Office of the District Director of Transportation, State of California, in the transportation district in which the applicant is located, no later than 4:00 p.m. on the last day for filing.

§1554. Contents of Application

The complete application must include a written request for an allocation in a specified monetary amount along with copies of each of the following attached to it:

- (a) All necessary orders of the Public Utilities Commission of the State of California. Necessary orders of the Public Utilities Commission include:
  - (1) An order authorizing construction of the project;
  - (2) A statement of the applicant's position on the annual priority list established by the Public Utilities Commission pursuant to Streets and Highways Code Section 2452;



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- (3) In case the applicant and affected railroad or railroads cannot agree as to the apportionment of the cost of the project between them, an order apportioning such cost pursuant to Public Utilities Commission Code Section 1202.5, but in no case shall an allocation be made unless the railroad or railroads contribute no less than the amount required by Section 2454 of the Streets and Highways Code, except as may be otherwise provided by law.
- (b) All necessary agreements with the affected railroad or railroads fully executed by railroad or railroads and applicant. The necessary agreements with the railroad include:
- (1) Permission to enter upon railroad right of way for construction, or, in lieu thereof, an order of the Public Utilities Commission or of a court of competent jurisdiction authorizing such entry for construction purposes;
  - (2) A description of the project on a plan setting forth the area and items of the project and the particular area and items of the project to which the railroad or railroads agree to contribute;
  - (3) The percentage of railroad's or railroads' contribution to the cost of the area and items to which railroad or railroads agree to contribute;
  - (4) Identification and estimated cost of the area and items to which railroad or railroads do not contribute;
  - (5) Agreement that railroad or railroads shall contribute a minimum of 10 percent of the cost of the project without a maximum dollar limitation on the railroad's contribution, except that the contribution may be less than 10 percent of the cost of the project where expressly so provided by law.
  - (6) When two or more railroads are affected by a project, their combined contribution must be a minimum of 10 percent of the cost of the project without a maximum dollar limitation on the combined contribution, except that such combined contribution may be less than 10 percent of the cost of the project when expressly so provided by law.
- (c) A certified resolution by the applicant's governing body authorizing the filing of an application.

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- (d) Certified resolution by the applicant's governing body stating that all matters prerequisite to the awarding of the construction contract can be accomplished within two years after the allocation of the funds for the project by the California Transportation Commission.
- (e) A certified resolution by applicant's governing body stating that sufficient local funds will be made available as the work of the project progresses.
- (f) Copies of all necessary Environmental Impact Reports or Negative Declarations, with a certified Notice of Determination and approval or acceptance of these documents by the Lead Agency. In cases where an Environmental Impact Statement or Negative Declaration has been prepared for the project pursuant to the requirements of the National Environmental Policy Act of 1969 and implementing regulations thereto, such documents may be submitted in lieu of an approved Environmental Impact Report or Negative Declaration and Notice of Determination, provided the Environmental Impact Statement or Negative Declaration fully develops the factors required in Title 14, Section 15143, of the State Administrative Code including Title 20, Section 17.1(d)(2), of the State Administrative Code, and such Environmental Impact Statement or Negative Declaration has received Federal approval.
- (g) General plan of the project, including profiles and typical sections.
- (h) Project cost estimate, which is to be broken down to construction, preliminary and construction engineering, work by railroad forces, right of way costs, and utility relocation.

§1555. Project Limitation

Participation of the grade separation fund is limited to only that portion of the project which, in the determination of the California Transportation Commission, is necessary to make the grade separation operable and to effect the separation of grades between the highway and the railroad track or tracks, or necessary to effect the relocation of track or highway. Off-track maintenance roads shall be nonparticipating unless the existing access for maintenance purposes is severely impaired by the project. Participating items include, but are not limited to, approaches, ramps, connections, drainage, erosion control of slopes, such as ivy, iceplant, and rye grass, and preconstruction costs, such as right of way acquisition, preparation of environmental impact reports and utility relocation, necessary to make the grade separation operable. In any dispute as to scope of

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project or qualification of an item, the decision of the California Transportation Commission shall be conclusive.

§1556. Allocation Limitation

Initial allocation of grade separation funds by the California Transportation Commission shall be limited to that based upon applicant's estimate of cost of project specified by applicant and utilized by the Public Utilities Commission of the State of California in establishment of applicant's priority pursuant to Streets and Highways Code Section 2452 of the State of California. A planned project must be a complete and operable project, and effect the separation of grades, relocation of the highway or railroad, in order to qualify for an allocation.

Article 2. Supplemental Allocations

§1557. Last Date to File

The last date on which an application for a supplemental allocation can be filed for the subsequent fiscal year is May 1 of the current calendar year. If May 1 is a Saturday, Sunday, or a State of California holiday, then the last date of filing shall be the next business day following May 1. A formal application must be filed by the applicant, accompanied with the project final report.

§1558. Place to File

The complete application in triplicate must be received in the Office of the District Director of Transportation, State of California, in the transportation district in which the applicant is located, no later than 4:00 p.m. on the last day for filing.

§1559. Contents of Application

The application must include a written request for a supplemental allocation in a specified amount along with copies of each of the following attached thereto.

- (a) A certified resolution by the applicant's governing body certifying that:
  - (1) Applicant has authority to make request for supplemental allocation;
  - (2) The project has been completed and has been accepted by the governing body;
  - (3) The actual and final cost of the project has been determined and is set forth in the supplemental application;

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- (4) All costs set forth in the request for a supplemental allocation were necessary to make the grade separation operable and effect the separation of grades or the relocation of track or highway.
- (5) That railroad or railroads have contributed 10 percent of the cost of the project unless a lesser contribution is expressly provided by law.
- (b) Evidence that funds would have been allocated for the project had the actual cost been used by the Public Utilities Commission of the State of California in determining the project's ranking on the priority list.
- (c) A final accounting of the cost of the project with a statement explaining in detail why the original allocation was not sufficient.

Note: Authority and reference cited: Sections 2450-2461, Streets and Highways Code; and City of San Marcos v. California Highway Commission, 60 Cal. App. 3d 383.

**(END OF APPENDIX 1)**

## APPENDIX 2: Priority Index Formulas

### A. Formula For Existing At-Grade Crossing Nominated For Grade Separation

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

- Where:
- 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)
  - LRT** - Average 24-Hour Light Rail Train Volume (1 point per train)
  - 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, trains carrying hazardous materials trains and trucks, and community impact (up to 19 points)

#### C = Project Cost Share to be Allocated from Grade Separation Fund

For a project seeking multi-year funding, not to exceed five (5) years, as prescribed in Section 2454, subdivision (d), paragraph (1) of the California Streets and Highways Code (S&H Code § 2454(d)(1)), up to 20 million dollars (\$20,000,000) may be requested, an agency that has received an allocation for a project under the multi-year funding option is not eligible for another project for a 10-year period unless funds are available for allocation. In addition, the allocation for any one of those multiple years shall not exceed the amount prescribed by S&H Code § 2454(c) of five million dollars (\$5,000,000).

For a project ranked the highest on the Grade Separation Priority List, up to 15 million dollars (\$15,000,000) may be allocated as provided in S&H Code § 2454(c)(2).

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For any of other project, up to five million dollars (\$5,000,000) or 80 percent (percent) of the estimated project cost, whichever is less, may be received, as provided in S&H Code §2454(c)(1).

**AH = Accident History** (last 10 years from application filing due date)

The total AH score is the sum of points per accident awarded as follows for vehicle and pedestrian accidents involving trains at crossings with the Crossing Protection Factor (CPF) based on the crossing's warning devices:

Points per Accident = (1 + 2 x No. Killed + No. Injured) x CPF

COMMISSION STANDARD WARNING DEVICE	9	8	1
CPF	1.0	0.4	0.1

Note 1: No more than three (3) points shall be allowed for each accident prior to modification by the CPF.

Note 2: Each accident is rated separately and modified by a factor based on the warning devices in existence at time of the accident.

Note 3: Pedestrian collisions with the train will be considered at the crossing, excluding all suicides.

**BD = Blocking Delay by Train** (The total time in which vehicular traffic is delayed to allow a train to pass at a crossing.) The blocking delay, for a typical day, is the elapse time in minutes when trains pass the crossing. The delay is measured from the point that the warning devices are activated at the crossing to the time after the train has cleared the crossing and the warning devices are reset. The BD points are the total delay time, valued in a range from 0 to 5 points.

**VS = Vehicular Speed Limit - Posted Speed Limit**

SPEED-Miles Per Hour	0-30	31-35	36-40	41-45	46-50	51+
POINTS	0	1	2	3	4	5

**RS = Railroad Maximum Speed**

SPEED-Miles Per Hour	0-25	26-35	36-45	46-55	56-65	66-75	76-85	86+
POINTS	0	1	2	3	4	5	6	7

I. \_\_\_\_\_ COM/MF1/vm2

**CG = Crossing Geometrics** - 0 - 17 points are awarded to each crossing based on the relative severity of physical conditions, i.e. surface profiles, alignment, sight distance, track skew angle, traffic signals, entrances and exits, etc.

CATEGORY	POINTS
QUADRANT SIGHT DISTANCES	0-4
SKEWED CROSSING ANGLE	0-2
NUMBER OF MAIN TRACKS	0-2
ELEVATED SURFACE PROFILES	0-4
PARALLEL ROAD	0-1
TRAFFIC SIGNAL WITHIN 200 FEET	0-1
ENTRANCE / EXIT WITHIN 100 FEET	0-1
RAISED MEDIAN	0-1
TRACK CURVATURE	0-1

**PT = Passenger Trains** – Additional points are given to projects that have passenger trains, including light rail transit, traveling through the crossing based on the following:

NO. OF TRAINS	1-2	3-5	6-10	11-20	21-30	31-40	41-50	51-60	61-70	70+
POINTS	1	2	3	4	5	6	7	8	9	10

**OF = Other Factors**- Other Factors are valued in a range from 0 to 19 points based on:

CATEGORY	POINTS
SCHOOL BUSES	0-3
PASSENGER BUSES	0-3
HAZ-MAT TRUCKS*	0-3
COMMUNITY IMPACT	0-10

\*Hazardous material trucks must display the placard with a clearly visible diamond-shaped sign to be counted for this category.

I. \_\_\_\_\_ COM/MF1/vm2

**B. Formula For Existing Grade Separations Nominated For Alteration Or Reconstruction**

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

Where:

- 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)
- C** - Project Cost Share to be Allocated from Grade Separation Fund (1 point per thousand dollars)
- 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)

**C = Project Cost Share to be Allocated from Grade Separation Fund**

For a project seeking multi-year funding, not to exceed five (5) years, as prescribed in Section 2454, subdivision (d), paragraph (1) of the California Streets and Highways Code (S&H Code § 2454(d)(1)), up to 20 million dollars (\$20,000,000) may be requested, an agency that has received an allocation for a project under the multi-year funding option is not eligible for another project for a 10-year period unless funds are available for allocation. In addition, the allocation for any one of those multiple years shall not exceed the amount prescribed by S&H Code § 2454(c) of five million dollars (\$5,000,000).

For a project ranked the highest on the Grade Separation Priority List, up to 15 million dollars (\$15,000,000) may be allocated as provided in S&H Code § 2454(c)(2).

For any of other project, up to five million dollars (\$5,000,000) or 80 percent (percent) of the estimated project cost, whichever is less, may be received, as provided in S&H Code § 2454(c)(1).



I. \_\_\_\_\_ COM/MF1/vm2

**WC** = Width Clearance is determined by bridge width in feet and the number of traffic lanes in existence (N):

If the Width is:	POINTS
Greater than or equal to $12(N) + 16$ feet	0
Greater than $12(N) + 12$ feet but less than $12(N) + 16$ feet	2
Greater than $12(N) + 8$ feet but less than $12(N) + 12$ feet	4
Greater than $11(N)$ but less than $12(N) + 8$ feet	6
Equal to $11(N)$	8
Less than $11(N)$	10

**HC** = Separation Height Clearance is determined by the height clearance from center of traffic lane and bridge (Underpass) or from top of rail and bridge (Overpass).

**Underpass**

<u>Height (feet)</u>	<u>Points</u>
15 feet and above	0
14 feet but less than 15 feet	4
13 feet but less than 14 feet	8
Less than 13 feet	10

**Overpass**

<u>Height (feet)</u>	<u>Points</u>
22.5 feet and above	0
20 feet but less than 22.5 feet	4
18 feet but less than 20 feet	8
Less than 18 feet	10

**SR** = Speed Reduction or Slow Order

	<u>Points</u>
None	0
Moderate	2
Severe	5

**AS** = Accidents at or near the structure during the last 10 years from the application due date. The total AS points is determined by dividing the total number of occurrences by 10 and rounded off to the nearest tenth of a point (86 occurrences =  $86/10 = 8.6$  points).

I. \_\_\_\_\_ COM/MF1/vm2

**POF** = Probability of Failure has a 10 point maximum taking structure age into account.

	<u>Points</u>
Minimal/None	0
Slight	2-3
Moderate	4-6
Extreme	7-10

**AP** = Accident Potential – A maximum of 10 points is given for the geometrics at the separation like: road curvature, signage, and illumination.

	<u>Points</u>
None	0
Slight	2-3
Moderate	4-6
Extreme	7-10

**DE** = Delay Effects – A maximum of 10 points is given to conditions that cause traffic delays at the separation like road bottlenecks, slow vehicle usage (trucks, agriculture equipment, lack of left or right turn lanes or other traffic congestion.

	<u>Points</u>
None	0
Slight	2-3
Moderate	4-6
Extreme	7-10

**(END OF APPENDIX 2)**

I. \_\_\_\_\_ COM/MF1/vm2

### APPENDIX 3: OII Interested Party Notice Letter

STATE OF CALIFORNIA

EDMUND G. BROWN JR., *Governor*

#### PUBLIC UTILITIES COMMISSION

320 WEST 4<sup>TH</sup> STREET, SUITE 500  
LOS ANGELES, CA 90013  
(213) 576-7076 FAX 576-7029



August \_\_, 2013

To: All Interested Parties

Re: **Establishment of the Section 190 Grade Separation Priority List for fiscal years 2016-2017 and 2017-2018 under Section 2450 et seq. of the California Streets and Highways Code.**

---

The Public Utilities Commission (Commission) issued an Order Instituting Investigation (OII) for establishing the Section 190 Grade Separation Priority List (Priority List) for fiscal years 2016-2017 and 2017-2018. The California Transportation Commission and the California Department of Transportation use the Priority List to allocate funds made available to the program to assist local governments in financing grade separations projects for existing at-grade crossings and grade separations in need of alteration or reconstruction.

If you wish to nominate a grade separation project for inclusion on the Priority List, you must complete and file a nomination application and participate in the Commission's OII. If you are interested, download the OII and appendices from our website at: <http://www.cpuc.ca.gov/PUC/safety/Rail/Crossings/funding.htm>. Search for "I1307\_\_".

The OII and appendices include an explanation and filing requirements for participating in the program, including a nomination form with instructions, and listing the criteria and formulas used to rank all nominations. All applications are due Friday, October 25, 2013.

I. \_\_\_\_\_ COM/MF1/vm2

For additional clarifications or comments, please contact me at [ykc@cpuc.ca.gov](mailto:ykc@cpuc.ca.gov),  
(213) 576-7076.

Sincerely,

**Ken Chiang, P.E.**  
Utilities Engineer  
Rail Crossings Engineering Section  
Safety and Enforcement Division

**(END OF APPENDIX 3)**

I. \_\_\_\_\_ COM/MF1/vm2

**APPENDIX 4: GSN-1 FORM**

**BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA**

Order Instituting Investigation for the purpose of establishing a list for the fiscal years 2016-2017 and 2017-2018 of existing crossings at grade of city streets, county roads or state highways in need of separation, or existing separations in need of alterations or reconstruction in accordance with Section 2452 of the California Streets and Highways Code.

FILED  
PUBLIC UTILITIES COMMISSION  
JULY \_\_, 2013  
SAN FRANCISCO, CALIFORNIA  
INVESTIGATION 13-07-\_\_

## Nomination for Separation Of Existing At-Grade Crossing

Nomination by \_\_\_\_\_

Road/Highway	
CPUC Crossing ID No.	
DOT ID No.	
Railroad(s)	

*This packet contains the GSN-1 Form and instructions. Please carefully read the instructions before completing the form.*

I. \_\_\_\_\_ COM/MF1/

**A. Nominating Party** – Please include two (2) contacts

Agency Name						
Contact Name	Title	Street Address	City	Zip Code	Telephone	E-mail
					( )	
Alternate						
					( )	

**B. Crossing Location and Project Type** (List all crossings for a consolidation project)

Road/Highway Name	
CPUC ID NO.	
DOT ID NO.	
City/County/ZIP Code	
Railroad(s)	
Project Type	Underpass [ ] Overpass [ ]
Is project part of a consolidation?	Yes [ ] No [ ]

**C. Average Daily Vehicle and Train Volumes**

Autos		Freight Trains	
School Buses		Passenger Trains	
Passenger Buses		Light Rail Trains	
Hazmat Trucks			
<b>TOTAL VEHICLE COUNT</b>		<b>TOTAL TRAIN COUNT</b>	
Date of Count(s):		Date of Count(s):	

I. \_\_\_\_\_ COM/MF1/

**D. Costs and Contributions** - Please fill in the following worksheet to determine the total project costs

Right-of Way allowance	\$ _____
Preliminary Engineering	\$ _____
Construction Engineering	\$ _____
<b>Total Engineering</b>	\$ _____
Bridge Construction	\$ _____
Railroad Work	\$ _____
Highway Approaches & Connections	\$ _____
Utility Relocation	\$ _____
Contingencies	\$ _____
Removing Existing Crossing	\$ _____
<b>Total Construction Costs</b>	\$ _____
<b>TOTAL PROJECT COST</b>	\$ _____
<b>ALLOCATED SHARE FROM STATE FUND:</b>	\$ _____

Contributions:

City	\$ _____
County	\$ _____
Railroad	\$ _____
Other (specify)	\$ _____

**E. Accident History Data**

<b>Total Number of Trains vs. Vehicle and Pedestrian Accidents *</b>			
Source	Date	Killed	Injured
Source	Date	Killed	Injured
Source	Date	Killed	Injured
Source	Date	Killed	Injured

\* List all accidents separately from October 26, 2003 to October 25, 2013. For each accident specify the accident date, the number of fatalities and injuries.

I. \_\_\_\_\_ COM/MF1/

**F. Blocking Delay and Speed Limits**

Total Blocking Delay	Min
Number of Observed Delays	
Information Provided by:	Railroad [ ] Observation [ ]
Date Delays Verified	
Posted Vehicle Speed Limit	mph
Train Speed Limit at Crossing	mph

**G. Crossing Geometrics**

Track Skewed Angle = _____ °	Is there a parallel road to the track within 200 ft? Yes [ ] No [ ]
Number of Tracks = _____	Are there traffic signals within 200 ft? Yes [ ] No [ ]
Elevated Surface Profile Direction: _____	Is there an entrance/exit within 100 ft? Yes [ ] No [ ]
Height: _____ inch Direction: _____	Is there a raised median on each approach? Yes [ ] No [ ]
Height: _____ inch	Is there curvature on the road or track? Yes [ ] No [ ]

**H. Other Information / Attachments**

Did you enclose a letter size (8 1/2" x 11") location map?	Yes [ ] No [ ]
Did you enclose an 8"x10" photo of each crossing's approach, for a total of two (2) photographs?	Yes [ ] No [ ]
Did you attach a brief Community Impact evaluation?	Yes [ ] No [ ]

**I. Declaration**

I, \_\_\_\_\_, declare under penalty of perjury that the information on this form is true and correct to the best of my knowledge. The information has been verified by me or under my supervision and is the most current information available.

Signature: \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_



I. \_\_\_\_\_ COM/MF1/

**Introduction:** By July 1 of each year, the California Public Utilities Commission (Commission or CPUC) is required to establish and furnish to the California Transportation Commission a priority list of railroad grade separation projects most urgently in need of separation. Nominations of grade separation projects must be submitted on the GSN-1 Form by October 25, 2013, in the Commission's Order Instituting Investigation (OII). All nominations are reviewed and taken into consideration for the development of the Commission's Priority List. Incomplete and late-filed applications will not be processed or included in the Priority List. Please follow the instructions below to complete the application. Should you need assistance with this form, please contact Ken Chiang at (213) 576-7076 or at [ykc@cpuc.ca.gov](mailto:ykc@cpuc.ca.gov).

## **INSTRUCTIONS**

### **A. INFORMATION ABOUT THE NOMINATING PARTY**

In the spaces provided, enter name, address, e-mail address and contact person along with contact's title and phone number. Please include two (2) contacts. If you have hired a consultant to process the nomination, please provide the consultant's company name and phone number in the "Alternate" section.

### **B. CROSSING LOCATION AND PROJECT TYPE**

Provide the CPUC and the U.S. Department of Transportation (DOT) crossing identification numbers (ID Nos.) for the project along with the street location, city, county and zip code of the crossing and the name of the railroad(s) company operating the tracks. If the project involves the construction of a new grade separation at a site where there is no existing at-grade crossing, then enter "NEW" for the CPUC and DOT ID Nos. Also specify the type of project the grade separation proposal involves with respect to train traffic. For example, if a bridge is to be built where the roadway goes over the tracks, the project is an "OVERPASS." If a bridge is to be built where roadway goes underneath the tracks, then the project is an "UNDERPASS."

*NOTE: If your project involves more than one (1) crossing, list each crossing separately in part B of the GSN-1 form and answer "Yes" to the Consolidation question under Project Type.*

I. \_\_\_\_\_ COM/MF1/

**C. AVERAGE DAILY VOLUME**

For all categories specified in this section, provide the vehicle and train count of a typical day. In the "AUTOS" category, specify the total number of vehicles flowing through the crossing that are not specified in the other categories. For example: all automobiles, pick-up trucks, vans, etc.; should be counted in the "AUTOS" category. Count school buses, passenger buses, and hazardous-material trucks separately. For the train counts specify the total number of trains that use the crossing into three (3) categories: Freight Trains (e.g., Union Pacific Railroad, BNSF Railway, California Short Line Railroad), Passenger Trains (e.g., National Railroad Passenger Corporation (Amtrak), Southern California Regional Rail Authority (Metrolink), Caltrain), and Light Rail Trains (e.g., San Diego Trolley, Santa Clara Valley Transportation Authority).

Include the date when the count(s) was (were) taken. This date should be within the last year of filing the application. If a later dated vehicle count is used, then specify in the affidavit that the vehicle count is an accurate representation of current traffic flow.

**D. COSTS AND CONTRIBUTIONS**

Complete the work sheet to determine the total project costs. Also enter the amount of the costs that are expected from the sources specified on the GSN-1 form. Indicate the amount sought from the Section 190 Grade Separation Program fund, not to exceed the maximum possible.

**E. ACCIDENT HISTORY DATA**

Provide the total number of train versus vehicle and pedestrian accidents that have occurred at the crossing(s) from October 26, 2003 to October 25, 2013 (10-year period). Pedestrian collisions with the train will be considered at the crossing, excluding all suicides. Attach a copy of the law enforcement report for all accidents to the original GSN-1 Form that is not found on the Federal Railroad Administration website: <http://safetydata.fra.dot.gov/OfficeofSafety/PublicSite/Crossing/Crossing.aspx>. For each accident, specify the location (if more than one (1) crossing is involved with the project), accident date, the number of fatalities, the number of injuries, and the data source.

I. \_\_\_\_\_ COM/MF1/

**F. BLOCKING DELAY AND SPEED LIMITS**

The blocking delay is the time, in minutes (min), from when the crossing signals are active until the train clears the crossing and the warning signals stop flashing. In this section, specify the requested blocking delay information for a typical day. For example: Three (3) trains use the crossing on a daily basis. The blocking delay is 5 min for the first train, 3.5 min for the second, and 7.75 min for the third train. The total blocking delay is the sum of each delay for a total of 16.25 min.

**VEHICULAR & TRAIN SPEED LIMIT:** Specify the posted vehicular speed limit in direction of traffic flow that passes through crossing. If no signs are posted then assume 35 miles per hour (mph) as the vehicular speed limit in urban areas, for rural areas 55 mph. Also specify the train speed limit at the crossing.

**G. CROSSING GEOMETRICS:**

Provide the information requested about the physical attributes of existing crossing using the following guidelines:

**TRACK SKEWED ANGLE:** The skewed angle is the angle measurement, in degrees ( $^{\circ}$ ), from the tracks to the perpendicular of the roadway. Measure the angle using the vertex at the intersection between the curb or edge of roadway and the railroad track. Use the curb or edge of the roadway as an axis and measure the angle to the rail edge nearest to the curb. The track skewed angle is the absolute value of  $90^{\circ}$  less the measured angle (i.e.  $|90^{\circ} - \text{measured angle}|$ ).

**NUMBER OF TRACKS:** Specify the total number of tracks at the existing crossing.

**ELEVATED SURFACE PROFILE:** The elevated surface profile is the change in height from the top of the nearest rail track to the top of the roadway 30 feet (ft) from the tracks. The measurement should be in inches and the direction in which traffic is flowing should be specified as "N" for North, "S" for South, "E" for East and "W" for West.

**PARALLEL ROAD TO TRACKS WITHIN 200 ft:** Is there an adjacent road running parallel to the track(s)? Mark "Yes" if there is a parallel road, or "No" if there is not.

I. \_\_\_\_\_ COM/MF1/

**TRAFFIC SIGNALS WITHIN 200 ft:** Are there any traffic signals within 200 ft of crossing? (not the active warning devices at the crossing). Mark “Yes” if there is a traffic signal, or “No” if not.

**ENTRANCE / EXIT WITHIN 100 ft:** Is there a driveway entrance or exit within 100 ft from crossing? Mark “Yes” if there is a driveway entrance or exit, or “No” if there is not.

**RAISED MEDIAN:** Is there a raised median on each approach of the crossing? Mark “Yes” if there is a raised median, or “No” if there is not.

**CURVATURE OF ROAD OR TRACK:** Is the road and/or track curvature sufficient to impair visibility by vehicular traffic? If highway/roadway visibility is hindered, mark “Yes”. If curvature does not interfere with visibility mark “No”.

#### **H. ATTACHMENTS**

Attach an 8 ½” x 11” location map and two (2) 8” x 10” photographs of the crossing location, one (1) from each approach, showing the entire crossing and pertinent crossing geometrics at least 100 ft back. Also attach a brief explanation of the community impact including its justification, how it meets transportation planning goals, the potential for emergency vehicle blockage if the crossing is near a hospital, or if the path over the crossing is classified as an emergency vehicle route, is it a school bus or passenger bus route, location of nearby fire/police station(s), is the crossing part of a designated hazardous material carrier route, a major arterial route; classification as a state highway/route, or describe if no grade-separation crossings are in the city/area.

#### **I. DECLARATION**

Please complete the declaration with the information requested and sign.

**(END OF APPENDIX 4)**

I. \_\_\_\_\_ COM/MF1/

**APPENDIX 5: GSN-2 Form**

**BEFORE THE PUBLIC UTILITIES COMMISSION OF THE STATE OF CALIFORNIA**

Order Instituting Investigation for the purpose of establishing a list for the fiscal years 2016-2017 and 2017-2018 of existing crossings at grade of city streets, county roads or state highways in need of separation, or existing separations in need of alterations or reconstruction in accordance with Section 2452 of the California Streets and Highways Code.

FILED  
PUBLIC UTILITIES COMMISSION  
JULY \_\_, 2013  
SAN FRANCISCO, CALIFORNIA  
INVESTIGATION 13-07-\_\_

**Nomination for Alteration or Reconstruction  
Of  
Existing Grade-Separated Crossing**

Nomination by \_\_\_\_\_

Road/Highway	
CPUC Crossing ID No.	
DOT ID No.	
Railroad(s)	

*This packet contains the GSN-2 Form and instructions. Please carefully read the instructions before completing the form.*

I. \_\_\_\_\_ COM/MF1/

**A. Nominating Party** – Please include two (2) contacts

Agency Name						
Contact Name	Title	Street Address	City	Zip Code	Telephone	E-mail
					( )	
Alternate						
					( )	

**B. Crossing Location and Project Type** (List all crossings for a consolidation project)

Road/Highway Name	
CPUC ID NO.	
DOT ID NO.	
City / County / ZIP Code	
Railroad(s)	
Project Type	Underpass [ ] Overpass [ ]
Is project part of a consolidation?	Yes [ ] No [ ]

**C. Clearances**

Horizontal Width	ft
Height Clearance	ft
<b>Number of Lanes</b>	
Separation Type	Underpass [ ] Overpass [ ]

**D. Speed Reduction or Slow Order**

Vehicle Speed Reduction	Mph
Railroad Slow Order	Mph
Is there a center divider?	Yes [ ] No [ ]

I. \_\_\_\_\_ COM/MF1/

**E. Average Daily Vehicle & Train Volumes**

Transportation Mode	COUNT	COUNT DATE
Total Number of Vehicles		
Total Number of Trains		
Freight Trains		
Passenger Trains		
Light Rail Trains		

**F. Accident History Data**

Total Number Accidents *			
Source	Date	Killed	Injured
Source	Date	Killed	Injured
Source	Date	Killed	Injured
Source	Date	Killed	Injured

\* List all accidents from October 26, 2003 to October 25, 2013, separately. For each accident specify the accident date, the number of fatalities and injuries.

**G. Costs and Contributions**

Please fill in the following worksheet to determine the total project costs.

Right-of Way allowance.....	\$ _____
Preliminary Engineering.....	\$ _____
Construction Engineering.....	\$ _____
<b>Total Engineering.....</b>	<b>\$ _____</b>
Bridge Construction.....	\$ _____
Railroad Work.....	\$ _____
Highway Approaches & Connections...	\$ _____
Utility Relocation.....	\$ _____
Contingencies.....	\$ _____
Removing Existing Crossing.....	\$ _____
<b>Total Construction Costs.....</b>	<b>\$ _____</b>
<b>TOTAL PROJECT COSTS:</b>	<b>\$ _____</b>
<b>ALLOCATED SHARE FROM STATE FUND:</b>	<b>\$ _____</b>

I. \_\_\_\_\_ COM/MF1/

Contributions:

City	\$
County	\$
Railroad	\$
Other (specify)	\$

**H. Probability of Failure**

Specify the date that the structure was built?	
When was structure last evaluated? *	
Has the structure been retrofitted to current standards for seismic safety or other improvements? ** If so, indicate completion date of retrofit work.	Yes [ ] No [ ]

\* Please attach a copy of the evaluation results with recommendations for corrective action(s).

\*\* Please attach a summary of work performed and completion date(s).

**I. Attachments**

Did you enclose a letter size (8 1/2" x 11") location map?	Yes [ ] No [ ]
Did you enclose an 8"x 10" photo of each crossing's approach, for a total of two (2) photographs?	Yes [ ] No [ ]

**J. Declaration**

I, \_\_\_\_\_, declare under penalty of perjury that the information on this form is true and correct to the best of my knowledge. The information has been verified by me or under my supervision and is the most current information available.

Signature: \_\_\_\_\_ Title: \_\_\_\_\_

Date: \_\_\_\_\_



I. \_\_\_\_\_ COM/MF1/

**Introduction:** By July 1 of each year, the California Public Utilities Commission (Commission or CPUC) is required to establish and furnish to the California Transportation Commission a priority list of railroad grade separation projects most urgently in need of separation. Nominations for alteration or reconstruction of existing separation projects must be submitted on the GSN-2 Form by October 25, 2013, as stated in the Commission's Order Instituting Investigation (OII). **All nominations** are reviewed and taken into consideration for the development of the Commission's Priority List. Incomplete and late-filed applications will not be processed or included in the Priority List. Please follow the instructions below to complete the application. Should you need assistance with this form please contact Ken Chiang at (213) 576-7076 or at [ykc@cpuc.ca.gov](mailto:ykc@cpuc.ca.gov).

**INSTRUCTIONS:**

**A. INFORMATION ABOUT THE NOMINATING PARTY**

In the spaces provided, enter name, address, e-mail address and contact person along with contact's title and phone number. Please include two (2) contacts. In the "Alternate" section, list consultant information if they are processing the nomination.

**B. CROSSING LOCATION AND PROJECT TYPE**

Provide the CPUC and the U.S. Department of Transportation crossing identification numbers (ID Nos.) for the existing structure along with the street location, nearest cross street, city, county and the railroad track owner. Please specify if the project is an alteration or reconstruction.

**C. CLEARANCES**

Provide the information requested about the physical attributes of existing separation. The Horizontal Width should be measured between the edge of roadway/curb to the opposite edge of roadway/curb in feet (ft). For the Height Clearance, measure from the top of rail to bottom of structure, or measure from the center of the roadway to bottom of structure. Also specify if the structure is an Overpass or Underpass. If a bridge structure is built where the roadway goes over the tracks, the structure is an "OVERPASS." If a bridge structure is built where roadway goes underneath the tracks, then the structure is an "UNDERPASS."

I. \_\_\_\_\_ COM/MF1/

**D. SPEED REDUCTION AND/OR SLOW ORDER**

Quantitatively identify any vehicular speed reduction that may be due to the presence of the bridge structure. For example, speed over the structure being reduced from 60 miles per hour (mph) to 30 mph. Information regarding a railroad slow order, such as a local speed restriction on a rail line set below the normal speed limit of the tracks, may be obtained from the railroad company (see Appendix 6 for List of Railroads).

**E. AVERAGE DAILY VEHICLE & TRAIN VOLUMES**

Provide an average 24-hour day count of vehicles and trains and enter the date when count was taken. The count should be completed by the filing due date and should not be more than one (1) year old. If a current count is not available, provide the information along with the date of the most current count. Do not estimate the data.

**F. ACCIDENT HISTORY DATA**

Provide a count of the total number of accidents that may be attributed to the presence of the grade separation structure. Include a copy of the data and source(s).

**G. COSTS AND CONTRIBUTIONS**

Complete the worksheet to determine the total project costs. Also enter the amount of the total costs expected from the sources on the GSN-2 Form. Indicate the amount sought from the Section 190 Grade Separation Program fund, not to exceed the maximum possible.

**H. PROBABILITY OF FAILURE DATA**

Please specify the date the structure was constructed and the date the structure was last evaluated for probability of failure. Attach a copy of the evaluation with recommendations for corrective action(s) to the original GSN-2 Form. If retrofitting work is in progress or has been completed, attach a summary of work completed and the completion dates. Also specify if other work is being planned for completion prior October 25, 2013.

**(END OF APPENDIX 5)**

**APPENDIX 6: List of Railroads**

**LIST OF RAILROADS in ALPHABETICAL ORDER**

Alameda Belt Line (Owned by UP and BNSF)	Alameda Corridor Transportation Authority
Almanor Railroad Company	Altamont Commuter Express
Amador Foothills Railroad Company	Americana at Brand Trolley
Arizona And California Railroad Company	Bakersfield and Kern Electric Railway
Bay Area Electric Railroad Association, Inc.	Bay Area Rapid Transit District
Bay Point and Clayton Railroad Company	BNSF Railway Company
Buckport & Elk River Railway Company	California Central Railroad Company
California Northern / SPT	California Shasta and Eastern Railway Company
California State Railway Museum	California Street Cable Railroad Company
California Western Railroad, Inc.	Camino, Placerville and Lake Tahoe Railroad Company
Cement, Tolenas & Tidewater Railroad Company	Central California Traction Company (Owned by UP and BNSF)
Central Oregon & Pacific Railroad	Coal Fields Railway
Death Valley Railroad Company	Delta Finance Company
Diamond & Caldor Railway	Eureka Southern Railroad Company, Inc.
Eureka Southern Railroad, Inc.	Fillmore & Western Railroad
Fresno Traction Company	Glendale and Montrose Railway
Golden Gate Bridge Highway & Transportation District	Harbor Belt Line Railroad (OBSOLETE 2003)
Hobart Southern Railroad Company	Holton Inter-Urban Railway Company (Part of UP)
Howard Terminal Railway (Part of Port Of Oakland RR)	Humboldt Northern Railway Company
Indian Valley Railroad Company	Key System Company Ltd.
Kings Lakeshore Railroad Company	Lake County Railroad Company, formerly Great Western Railway
Los Angeles County Metropolitan Transportation Authority	Los Angeles Junction Railway Company
Los Angeles Railway Company	Market Street Railway Company
McCloud Railway	McCloud River Railroad Company (OBSOLETE)
Metropolitan Transit Development Board (San Diego)	Minarets & Western Railroad

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Modesto & Empire Traction Co.	Mt. Tamalpais & Muir Woods Railway
Napa Valley Railroad Company (Wine Train)	National Railroad Passenger Corporation (Amtrak)
Nevada California Oregon Railway	Nevada County Narrow Gauge Railway Company
North (San Diego) County Transit Development Board	North Coast Railroad
Northern California Railroad Company	Northwestern Pacific Railroad (Part of UP)
Orange County Transportation Authority	Orange Empire Railway Museum
Outer Harbor Terminal Railway	Pacific Coast Railway
Pacific Electric Railway	Pacific Harbor Lines
Pajaro Valley Consolidated Railway Company	Parr Terminal Railroad (associated with Richmond Pacific RR)
Peninsula Corridor Joint Powers Board (Caltrain)	Peninsular Railway Company
Petaluma and Santa Rosa Railroad Company	PGE Sacramento Street Railway
Port of Long Beach	Port of Los Angeles
Port of Oakland Railway	Port of Stockton
Port Railroad	Quincy Railroad Company
Richmond Belt Railway	Sacramento Northern Railway (Part of UPRR)
Sacramento Regional Transit District	Sacramento Valley & Eastern Railway
Sacramento-Yolo Port District Belt Railroad	San Diego & Arizona (Pacific SW Railway Museum)
San Diego & Arizona Eastern Railway Co.- San Diego Trolley	San Diego and Imperial Valley Railroad Company
San Diego Electric Railway Company	San Francisco and Napa Valley Railroad Company
San Francisco Belt Railroad	San Francisco Municipal Railway
San Joaquin & Eastern Railroad Company	San Joaquin Valley Railroad
San Jose Railroads	Santa Barbara and Suburban Railway Company
Santa Clara County Valley Transportation Authority	Santa Cruz, Big Trees & Pacific Railway Company
Santa Maria Valley Railroad Company	Sierra Railroad Company
Sierra Railroad Company of California	South San Francisco Belt Railroad
South San Francisco Railroad and Power Company	Southern California Regional Rail Agency (Metrolink)
Stockton Electric Railroad Company	Stockton Public Belt Railroad
Stockton Terminal & Eastern Railroad	Sunset Railway Company (SJVR operates, owners UP/BNSF)
The Arcata and Mad River Railroad Company	The Burlington Northern Santa Fe Railroad Company
The Niles Canyon Railway (Pacific	The Oakland Terminal Railway (Owned by

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Locomotive Assn.)	UP/BNSF)
Tidewater and Southern Railway Company (Part of UP)	Tonopah and Tidewater Railway Company
Trona Railway Company	Tulare Valley Railroad Company
U.S. Navy	Union Pacific Railroad Company
Union Pacific Railroad Company (prev. Western Pacific/WPRC)	Ventura County Railroad (prev. Ventura County Railway Comp.)
Visalia Electric Railway (Part Of SP, Abandoned)	West Isle, Inc. / Western Farm Service
Yolo Shortline Railroad Company	Yosemite Valley Railway
Yreka Western Railroad Company	

**(END OF APPENDIX 6)**