

# APPENDIX A – 15

## *Regional Policies: Project Funding and Specific Funding Programs*

**Project Selection Policies and Project Programming  
for the Second Round of the One Bay Area Grant Program  
(OBAG2)**

**MTC Resolution No. 4202**



Date: November 18, 2015  
W.I.: 1512  
Referred by: PAC  
Revised: 07/27/16-C 10/26/16-C 12/21/16-C  
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ABSTRACT

Resolution No. 4202, Revised

Adoption of the project selection policies and project programming for the second round of the One Bay Area Grant program (OBAG 2). The project selection criteria and programming policy contain the project categories that are to be funded with various fund sources including federal surface transportation act funding available to MTC for its programming discretion to be included in the federal Transportation Improvement Program (TIP) for the OBAG 2 funding period.

The resolution includes the following attachments:

- Attachment A – OBAG 2 Project Selection Criteria and Programming Policy
- Attachment B-1 – OBAG 2 Regional Program Project List
- Attachment B-2 – OBAG 2 County Program Project List

On July 27, 2016, Attachment A, and Attachments B-1 and B-2 were revised to add additional funding and projects to the OBAG 2 framework, including \$72 million in additional Fixing America’s Surface Transportation Act (FAST) funding, and to incorporate housing-related policies.

On October 26, 2016, Attachment A, and Attachment B-1 were revised to clarify language related to the North Bay Priority Conservation Area (PCA) Program in Attachment A and to deprogram \$2,500,000 from the Water Emergency Transportation Authority (WETA) Ferry Service Enhancement Pilot within the Regional Active Operational Management Program.

On December 21, 2016, Attachments B-1 and B-2 were revised to redirect \$417,000 in un-programmed balances from the Regional Active Operational Management program to MTC’s Spare

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the Air Youth within the Climate Initiatives Program; divide MTC's Rideshare Program into three subcomponents totaling \$10,000,000: \$720,000 for Rideshare Implementation, \$7,280,000 for the Carpool Program, and \$2,000,000 for the Vanpool Program; direct \$1,785,000 from 511 Next Gen to the Commuter Benefits program; direct \$1,000,000 in un-programmed balances to SMART's Multi-Use Pathway; transfer \$1,000,000 from MTC's Casual Carpool project to MTC's Eastbay Commuter Parking project within the Bay Bridge Forward program, as the former will be funded with non-federal funds; transfer \$500,000 from the Freeway Performance Initiative program and \$500,000 in un-programmed balances to US 101/Marin Sonoma Narrow's B2 Phase 2 project in the Regional Active Operational Management Program; shift \$40,000,000 from the BART Car Replacement/Expansion project to the Golden Gate Bridge Suicide Deterrent project and \$13 million from MTC's Clipper project to un-programmed balances within the Transit Priorities program as part of a RM2 funding action to address a cost increase on the Golden Gate Bridge Suicide Deterrent project; and program \$5,990,000 to Alameda County's Safe Routes to School Program in the County Program.

On March 22, 2017, Attachment B-1 was revised to program \$17,000,000 in un-programmed balances within the Regional Transit Priorities Program to MTC's Clipper Program, as part of the FY17 Transit Capital Priorities program.

On April 26, 2017, Attachment B-2 was revised to program \$1,655,000 to the Sonoma Safe Routes to School program; and redirect \$1,000 from Contra Costa Transportation Authority's Planning Activities Base to its discretionary balance and \$1,000 from San Francisco County Transportation Authority's Planning Activities Base to its discretionary balance to address an inconsistency between amounts programmed to planning activities in Appendix A-3 and reflect actual amounts obligated for planning.

On May 24, 2017, Attachment B-1 was revised to redirect \$1,237,000 from 511 Next Gen to AOM Implementation within the Regional Active Operational Management program to reflect re-organization of staff between program elements; direct \$18,000,000 in Arterial/Transit Performance to the Program for Arterial System Synchronization (\$5,000,000) and the Next Gen Arterial Operations Program (\$13,000,000) within the Regional Active Operational Management program; direct \$19,000,000 from the Transportation Management System (TMS) Field Equipment Devices Operations and Maintenance to TMS Implementation (\$2,910,000), Performance-Based Intelligent Transportation Systems Device Maintenance and Rehabilitation (\$5,940,000), Transportation Management Center Asset Upgrade and Replacement (\$4,000,000), I-880 Communication Upgrade

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and Infrastructure Gap Closures (\$4,000,000) and a Detection Technology Pilot (\$5,000,000) within the Regional Active Operational Management program; and remove \$290,556 in un-programmed balances from the Regional Active Operational Management program to address over-programming in a previous cycles of the STP/CMAQ regional programs.

On June 28, 2017, Attachments B-1 and B-2 were revised to reprogram \$1,000,000 from the SMART Pathway – 2<sup>nd</sup> to Andersen to San Rafael’s Grand Ave Bike/Pedestrian Improvements within the Regional Climate Initiatives program as part of a funding exchange within the City of San Rafael, conditioned on San Rafael committing \$1 million in non-federal funds to the construction of the pathway, and a resolution of local support for the use of federal funds on the Grand Ave project, and TAM approval of the redirection of local measure funds between the projects; split out \$8,729,000 from the 511 Next Gen program to 511 Implementation within the Regional Active Operational Management program; program \$1,250,000 to Golden Gate Bridge Highway and Transportation District for the Bettini Transit Center as part of the Marin County Program; and program \$2,617,000 within the San Mateo County Program to the San Mateo County Office of Education for the SRTS program, including \$223,000 in supplemental funds from San Mateo’s discretionary balance.

On July 26, 2017, Attachment B-1 was revised to program \$12,000,000 to the US 101 Marin Sonoma Narrows project as part of a fund exchange agreement with Sonoma County Transportation Authority; \$11,000,000 in exchange funds are added to the program for tracking purposes, with the final \$1 million in exchange funds to be identified through a future Commission action.

On September 27, 2017, Attachment B-1 was revised to change the name of the Next Gen Arterial Operations Program (NGAOP) to Innovative Deployment for Enhanced Arterials (IDEA) to reflect program rebranding and additional focus on advanced technologies; program \$4,160,000 to Incident Management Implementation and \$8,840,000 to I-880 Integrated Corridor Mobility project within the Regional Active Operational Management program; split out the Connected Vehicles/Shared Mobility program into the Connected Vehicles/Automated Vehicles program for \$2,500,000 and the Shared Use Mobility program for \$2,500,000; and program \$16,000,000 for three corridors within the Freeway Performance Program, with \$8,000,000 for I-680, \$3,000,000 for I-880, and \$5,000,000 for SR-84.

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On October 25, 2017, Attachment B-1 was revised to program \$10,000,000 to the Bay Area Air Quality Management District for the Spare the Air program, in lieu of the Electric Vehicle Programs within the Regional Climate Initiatives Program, conditioned on the Air District contribution of an additional \$10 million to advance implementation of electric vehicles within the region.

On November 15, 2017, Attachment B-2 was revised to program \$200,000 in the Alameda County Program to the I-580 Corridor Study, to support a joint corridor study between Alameda County Transportation Commission (ACTC) and MTC; \$122,000 within the Napa County Program to Napa Valley Transportation Authority (NVTA) for the Napa County Safe Routes to School (SRTS) Program; and \$300,000 within the Contra Costa County Program to San Ramon for the San Ramon Valley Street Smarts Program.

On December 20, 2017, Attachments A, Appendix A-3, B-1, and B-2 were revised to program \$334 million in the County Program to local and county projects recommended by the nine Congestion Management Agencies (CMAs); redirect \$10,248,000 from BART Car Replacement/Expansion to Clipper within the Regional Transit Priorities Program; revise the CMA Planning Activities funding amounts to reflect the supplementary funds requested by several CMAs through their County Programs; and clarify the program details for the Local Housing Production Incentive program (also known as the *80K by 2020 Challenge Grant*).

On January 24, 2018, Attachment B-1 was revised to redirect \$4,100,000 from Performance-Based ITS Device Maintenance and Rehabilitation to I-880 Communication Upgrade and Infrastructure Gap Closures, within the Transportation Management System program.

On February 28, 2018, Attachments B-1 and B-2 were revised to program \$13 million in Innovative Deployments to Enhance Arterials (IDEA) program grants within the Regional Active Operational Management Program; redirect \$822,000 within Contra Costa County's Safe Routes to School Program (SRTS) for future SRTS projects; program \$2,813,000 to San Francisco SRTS Non-Infrastructure Program within the San Francisco County Program; and clarify MTC exchange fund projects.

On March 28, 2018, Attachment B-1 was revised to distribute the \$1.5 million Community-Based Transportation Planning Program among the nine county Congestion Management Areas (CMAs); clarify the limits of three Freeway Performance Program projects within the Regional

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Active Operational Management Program; and reflect the programming of \$30,000 in MTC exchange funds for Bay Area Greenprint Functionality Improvements, as part of the PCA program.

On April 25, 2018, Attachment B-1 was revised to program \$8,200,000 in Priority Conservation Area (PCA) grants within the North Bay PCA Program; \$3,400,000 to Sonoma County Transportation Authority (SCTA) for the Marin Sonoma Narrows B2 Phase 2 project, as part of an exchange agreement in which an equal amount of SCTA's future Regional Transportation Improvement Program (RTIP) funds will be programmed at MTC's discretion; \$7,288,000 in PDA Planning and Implementation grants; and \$500,000 to MTC for PDA Implementation.

On May 23, 2018, Attachments B-1 and B-2 were revised to change the project sponsor from MTC to VTA for the IDEA Program project at the Veteran's Administration Palo Alto Medical Center; redirect funds within the Santa Clara County OBAG 2 County Program to reduce San Jose's West San Carlos Urban Village Streetscape Improvements by \$2,050,000, redirecting \$1,000,000 from the project to Santa Clara's Saratoga Creek Trail Phase 1 and \$1,050,000 to Saratoga's Prospect Rd Complete Streets project; and direct an additional \$25,000 in unprogrammed balances within Santa Clara County OBAG 2 County Program to Saratoga's Prospect Rd Complete Streets project.

On June 27, 2018, Attachments B-1 and B-2 were revised to program \$800,000 to MTC's Carsharing Implementation and \$325,000 to Targeted Transportation Alternatives within the Climate Initiatives Program; redirect from MTC's 511 NextGen program \$8,271,000 to 511 Implementation, \$2,000,000 to Contra Costa Transportation Authority's (CCTA's) I-80 Central Ave Interchange Improvements project, and \$380,000 to an unprogrammed balance within the Regional Active Operational Management program; clarify the scope of MTC's Freeway Performance Program I-880 to reflect the project limits of I-80 to I-280; and redirect \$1,394,000 from Vallejo's Local Streets Rehabilitation project to Fairfield's Heart of Fairfield project within the Solano County Program.

On July 25, 2018, Attachment B-1 was revised to program \$1,600,000 to Santa Clara Valley Transportation Authority (VTA) for the SR 85 Transit Guideway Study as part of a fund exchange agreement; remove Rohnert Park's \$65,000 Central Rohnert Park PDA/Creekside Neighborhood Subarea Connector Path Technical Assistance grant from the Regional PDA Planning Grant program as it will be funded through a prior cycle; reduce the funding for

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Windsor's PDA Planning and Implementation Staffing Assistance grant by \$85,000 as this project will receive an equivalent amount of funds through a prior cycle; a total of \$150,000 balance created by these two revisions was returned to the Regional PDA Planning Grant Program un-programmed balance.

On September 12, 2018, Attachments B-1 and B-2 were revised to program \$3,000,000 within the Freeway Performance Program to the US 101 corridor in San Mateo and Santa Clara counties; direct an additional \$6,000,000 within the Freeway Performance Program to the I-680 corridor within Contra Costa County, \$4,000,000 of which is part of an exchange agreement with Contra Costa Transportation Authority (CCTA); redirect \$15,000 within the Innovative Deployment for Enhanced Arterials (IDEA) program from IDEA Technical Assistance to VTA's IDEA grant at the Veterans Affairs Palo Alto Medical Center; redirect \$48,000 from MTC's Clipper to the BART Car Replacement/Expansion project within the Transit Priorities program to reflect program amounts previously adopted through the Transit Capital Priorities (TCP) program; revise the amount programmed to VTA's SR 85 Transit Guideway Study within Regional Strategic Initiatives to \$1,200,000 to reflect amount previously approved; redirect \$1,214,000 from Berkeley's North Shattuck Avenue Rehabilitation project to its Southside Complete Streets and Transit Improvements project within the Alameda County Program; from Sunnyvale's East Sunnyvale Area Sense of Place Improvements, redirect \$1,000,000 to Los Altos' Miramonte Ave Bicycle and Pedestrian Access Improvements and \$1,140,000 to the Safe Routes to School program balance within the Santa Clara County Program; and program \$4,500,000 available from a previous funding cycle to the following projects within Regional Strategic Initiatives: \$617,000 to Novato's Pavement Rehabilitation (for Downtown Novato SMART Station) as part of a local funding exchange, \$1,120,000 to the Transportation Authority of Marin (TAM) for the Old Redwood Highway Multi-Use Pathway project, \$763,000 for San Rafael's Grand Ave Bridge project, and \$2,000,000 to TAM for the US 101 Marin Sonoma Narrows project.

On November 28, 2018, Attachment B-1 was revised to make adjustments related to the MTC/SCVTA Funding Exchange Agreement MTC Resolution No. 4356 and to the MTC/CCTA Funding Exchange Agreement MTC Resolution No. 4357, and to program \$4,000,000 in MTC exchange funds in accordance with MTC Resolution 3989, to the following projects: \$619,000 to CCTA for Innovative Deployment for Enhanced Arterials; \$621,000 to the city of Walnut Creek for innovative Deployment for Enhanced Arterials; \$500,000 to the city of Richmond for the

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Richmond-San Rafael Bridge Bikeway Access; \$1,160,000 to MTC for Richmond-San Rafael Bridge Forward; and \$1,100,000 to MTC for Napa Valley Transportation Demand.

On December 19, 2018, Attachments B-1 and B-2 were revised to redirect \$5,200,000 from MTC's I-880 Integrated Corridor Management (ICM) Central Segment to the I-880 ICM Northern Segment project within the Regional Active Operational Management Program; clarify the Diridon Integrated Station Area Concept Plan project within the Regional Priority Development Planning and Implementation Program to reference Santa Clara Valley Transportation Authority (VTA) as a project partner; within the Santa Clara County Program, redirect \$794,000 in unprogrammed balances to Sunnyvale's East Sunnyvale Sense of Place Improvements, clarify the remaining unprogrammed balance is discretionary, and clarify the division of funding for Santa Clara's Saratoga Creek Trail Phase 1 project between the county's Safe Routes to School program and its discretionary program.

On January 23, 2019, Attachment B-2 was revised to redirect \$15,980,000 within the San Francisco County Program from the Better Market Street project to the Central Subway project.

On February 27, 2019, Attachment B-1 was revised to change the fund source of \$3,779,849 programmed to the Golden Gate Bridge Suicide Deterrent in Surface Transportation Block Grant Program (STP) funds to federal Highway Infrastructure Program (STP Bump) funds provided in the Consolidated Appropriations Act, 2018. Of the \$3,779,849 freed up by this swap, \$1,000,000 is returned to the region's STP/CMAQ balance to help address the CMAQ shortfall as a result of the region becoming attainment for carbon monoxide (CO) and therefore receiving less CMAQ funds which are distributed based on air quality status. The remaining \$2,779,849 is held for future Commission action.

On March 27, 2019, Attachment A, Appendix A-8, Appendix A-10, and Attachment B-1 were revised to clarify provisions pertaining to the interim status report requirements for Priority Development Area (PDA) Investment & Growth Strategies; change the recipient of the Concord IDEA project from CCTA to the City of Concord and reduce the MTC Exchange funding from \$619,000 to \$589,000; and redirect the \$30,000 in MTC Exchange funds to a new MTC-led Concord IDEA project.

On June 26, 2019, Attachment B-2 was revised to program \$822,000 in unprogrammed Safe Routes to School Program (SRTS) balances within the Contra Costa County Program to six



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existing projects; and to redirect \$251,000 within the San Mateo County Program from Atherton's Middlefield Road Class II Bike Lanes to its James Avenue Rehabilitation.

On July 24, 2019, Attachment A was revised to delegate authority to the Executive Director or designee to sign Letters of Understanding for the exchange of STP/CMAQ funds with other regions, within certain conditions and limitations, and to delegate to a Committee of the Commission the authority to approve exchanges beyond these conditions and limitations.

On September 25, 2019, Attachments B-1 and B-2 were revised to clarify that the \$300,000 programmed to Alameda County Transportation Commission (ACTC) within the Community Based Transportation Plan (CBTP) Updates program will be directed to its Congestion Management Agency (CMA) Planning program as part of an internal fund exchange within ACTC; redirect \$9.6 million from 511 Implementation to 511 Next Gen within the Bay Area 511 Traveler Information Program; within the Freeway Performance Program redirect \$625,000 in from MTC's SR 84 (US 101 to I-880) to the environmental phase of MTC's I-580 WB HOV Lane Extension project and change the project sponsor of the I-80/Central Ave. Interchange Improvements project from the Contra Costa Transportation Authority (CCTA) to City of Richmond; within the Innovative Deployment to Enhance Arterials (IDEA) program, clarify that LAVTA is a partner agency for the Dublin Category 2 IDEA project; within the Transportation Management Systems (TMS) program, change the name of the overall program to Connected Bay Area, redirect \$2 million from the Detection Technology Pilot project and \$1.8 million from the Performance-Based ITS Device Maintenance and Rehabilitation project to provide an additional \$3.8 million to the I-880 Communications Upgrade and Infrastructure Gap Closures project; within the Incident Management program, redirect \$1 million from MTC's I-880 Integrated Corridor Management (ICM) Central Segment to the Northern Segment; within the San Francisco County program, redirect \$3,366,000 from John Yehall Chin Elementary Safe Routes to School (SRTS) Improvement; and within the Santa Clara County program, redirect \$1 million from Los Altos' Miramonte Ave Bicycle and Pedestrian Access Improvements project to Cupertino's McClellan Rd Separated Bike Lane project, and program \$1,346,000 in unprogrammed discretionary balances to Campbell's Harriet Ave Sidewalk project and Los Gatos Shannon Rd Complete Streets project.

On October 23, 2019, Attachment B-1 was revised to redirect \$3 million from MTC's Detection Technology Pilot project to establish the InterConnect Bay Area grant program within the Connected Bay Area program; direct \$5 million (\$4 million Solano County and \$1 million other

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North Bay counties) within the Housing Incentive Pool program to establish the Sub-HIP program, with specific projects to be recommended through future programming actions; and program \$1 million to BART for AB2923 Implementation from unprogrammed balances within the PDA Planning & Implementation program.

On November 20, 2019, Attachments B-1 and B-2 were revised to program \$6,023,000 in MTC exchange funds in accordance with MTC Resolution No. 3989 to 13 projects within the Priority Conservation Area (PCA) Grants program; and within the Contra Costa County program, redirect \$1,025,000 from Brentwood's Various Streets and Roads Preservation project to Pittsburg's Pavement Improvements project, redirect \$618,000 from San Pablo's Market Street Pavement Rehabilitation project to Giant Road Pavement Rehabilitation project; and revise the name of Walnut Creek's Ygnacio Valley Road Rehabilitation project to reflect the latest proposed scope of work.

On February 26, 2020, Attachments A, B-1, and B-2 were revised to program \$1 million to MTC for SR 37 corridor planning in Marin, Napa, Solano, and Sonoma Counties and \$3 million to MTC for I-80 corridor planning from the Carquinez Bridge to the San Francisco-Oakland Bay Bridge (SFOBB) Toll Plaza within the Freeway Performance Program; revise the name of the Concord Willow Pass Road Rehabilitation and Safe Routes to School project within the Contra Costa County Program to reflect the project's current scope; and clarify language within the OBAG 2 Project Selection Criteria and Programming Policy to reflect the Commission adoption of Housing Incentive Pool (HIP) program guidelines, MTC Resolution No. 4348.

On May 27, 2020, Attachment B-1 was revised to clarify the scope of MTC's Freeway Performance Program planning-only project on I-80 extends from Carquinez Bridge in Contra Costa to Fremont Street in San Francisco; change the sponsor for three projects within the Regional Priority Conservation Area (PCA) Grant program; and to redirect \$104,000 in the North Bay Priority PCA Grant program from Novato's Carmel Open Space Acquisition project to Novato's Hill Area National Recreation Area, as the former project has been cancelled.

On July 22, 2020, Attachment B-1 was revised to program \$5 million to five projects in Solano, Marin, Napa, and Sonoma Counties within the Housing Incentive Pool Pilot Program (Sub-HIP) and program \$1 million to the Napa Valley Forward Traffic Calming and Multimodal Improvements project within the Freeway Performance Program (FPP); and incorporate \$7,681,887 in federal Highway Infrastructure Program apportionment provided through the

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Department of Transportation Appropriations Act, 2020 to the Golden Gate Bridge Suicide Deterrent.

On September 23, 2020, Attachment B-2 was revised to redirect \$2,000,000 from Napa's Silverado Trail Five-way Intersection Improvement project to Napa Valley Transportation Authority's Vine Transit Bus Maintenance Facility within the Napa County Program, and \$1,394,000 from Fairfield's Heart of Fairfield Improvements to its Cadenasso Dr. Repaving project within the Solano County Program.

Further discussion of the project selection criteria and programming policy is contained in the memorandum to the Programming and Allocations Committee dated November 4, 2015, July 13, 2016, October 12, 2016, December 14, 2016, February 8, 2017 (action deferred to March 2017), March 8, 2017, April 12, 2017, May 10, 2017, June 14, 2017, July 12, 2017, September 13, 2017, October 11, 2017, November 8, 2017, December 13, 2017, January 10, 2018, February 14, 2018, March 7, 2018, and April 11, 2018; the Planning Committee dated April 6, 2018; and the Programming and Allocations Committee dated May 9, 2018, June 13, 2018, July 11, 2018, September 12, 2018, November 14, 2018, December 12, 2018, January 9, 2019, February 13, 2019, March 6, 2019, June 12, 2019, July 10, 2019, September 4, 2019, October 9, 2019, November 13, 2019, February 12, 2020, May 13, 2020, July 8, 2020, and September 9 2020.

Date: November 18, 2015  
W.I.: 1512  
Referred By: Programming & Allocations

RE: One Bay Area Grant Program Second Round (OBAG 2) Project Selection Criteria and Programming Policy

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4202

WHEREAS, the Metropolitan Transportation Commission (MTC) is the Regional Transportation Planning Agency (RTPA) for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county San Francisco Bay Area region and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes federal funds; and

WHEREAS, MTC is the designated recipient for state and federal funding assigned to the RTPA/MPO of the San Francisco Bay Area for the programming of projects; and

WHEREAS, state and federal funds assigned for RTPA/MPO programming discretion are subject to availability and must be used within prescribed funding deadlines regardless of project readiness; and

WHEREAS, MTC, in cooperation with the Association of Bay Area Governments (ABAG), the Bay Area Air Quality Management District (BAAQMD), the Bay Conservation and Development Commission (BCDC), California Department of Transportation (Caltrans), Congestion Management Agencies (CMAs), county Transportation Authorities (TAs), transit operators, counties, cities, and interested stakeholders, has developed criteria, policies and procedures to be used in the selection of projects to be funded with various funding including regional federal funds as set forth in Attachments A, B-1 and B-2 of this Resolution, incorporated herein as though set forth at length; and

WHEREAS, using the policies set forth in Attachment A of this Resolution, MTC, in cooperation with the Bay Area Partnership and interested stakeholders, will develop a program of projects to be funded with these funds for inclusion in the federal TIP, as set forth in Attachments B-1 and B-2 of this Resolution, incorporated herein as though set forth at length; and

WHEREAS the federal TIP and subsequent TIP amendments and updates are subject to public review and comment; now therefore be it

RESOLVED that MTC approves the “Project Selection Criteria and Programming Policy” for projects to be funded in the OBAG 2 Program as set forth in Attachments A, B-1 and B-2 of this Resolution; and be it further

RESOLVED that the regional discretionary funding shall be pooled and distributed on a regional basis for implementation of project selection criteria, policies, procedures and programming, consistent with the Regional Transportation Plan (RTP); and be it further

RESOLVED that the projects will be included in the federal TIP subject to final federal approval and requirements; and be it further

RESOLVED that the Executive Director or designee may make technical adjustments and other non-substantial revisions, including updates to fund sources and distributions to reflect final funding criteria and availability; and be it further

RESOLVED that the Executive Director or designee is authorized to revise Attachments B-1 and B-2 as necessary to reflect the programming of projects as the projects are selected, revised and included in the federal TIP; and be it further

RESOLVED that the Executive Director or designee shall make available a copy of this resolution, and attachments as may be required and appropriate.

METROPOLITAN TRANSPORTATION COMMISSION



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Dave Cortese, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on November 18, 2015

Date: November 18, 2015  
W.I.: 1512  
Referred by: P&A  
Revised: 07/27/16-C 10/26/16-C  
12/20/17-C 03/27/19-C  
07/24/19-C 02/26/20-C

Attachment A  
Resolution No. 4202

**OBAG 2**  
**One Bay Area Grant Program**  
**Project Selection Criteria and Programming Policy**

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**OBAG 2 – One Bay Area Grant Program  
Project Selection Criteria and Programming Policy**

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- Appendix A-10 Checklist for CMA and Local Jurisdiction Compliance with MTC Resolution 4202



The One Bay Area Grant Program (OBAG 2) is the second round of the federal funding program designed to support the implementation of *Plan Bay Area*, the region's first Sustainable Communities Strategy (SCS). OBAG 2 covers the five-year period from FY 2017-18 to FY 2021-22. The proposed revenue estimates, funding approach, programming policies, project guidance, and timeline for OBAG 2 are outlined in this attachment.

## BACKGROUND

The inaugural One Bay Area Grant Program (OBAG 1) was approved by the Commission in May 2012 (MTC Resolution 4035). The OBAG 1 program incorporated the following program features:

- Targeting project investments to the region's Priority Development Areas (PDAs);
- Rewarding jurisdictions that accept housing allocations through the Regional Housing Need Allocation (RHNA) process and produce housing;
- Supporting open space preservation in Priority Conservation Areas (PCAs); and
- Providing a larger and more flexible funding pot to deliver transportation projects in categories such as Transportation for Livable Communities (TLC), bicycle and pedestrian improvements, local streets and roads preservation, and planning activities, while also providing dedicated funding opportunities for Safe Routes to School activities and PCAs.

The early outcomes of the OBAG 1 program are documented in the One Bay Area Grant Report Card located at: ([http://files.mtc.ca.gov/pdf/OBAG\\_Report\\_Card.pdf](http://files.mtc.ca.gov/pdf/OBAG_Report_Card.pdf)). The key findings of the report highlight a variety of improvements as compared to previous federal highway funding programs, including: increased grant and project size, complexity, and multi-modality; significant investments in active transportation and TLC projects; region wide achievement of PDA investment targets; and compliance with local performance and accountability requirements. Considering the positive results achieved in OBAG 1, and in order to further extend the timeframe for OBAG to meet its policy goals, OBAG 2 maintains largely the same framework and policies.

## REVENUE ESTIMATES AND PROGRAM ARCHITECTURE

OBAG 2 funding is based on anticipated future federal transportation program apportionments from the regional Surface Transportation Block Grant Program (STP) and Congestion Mitigation and Air Quality Improvement (CMAQ) Programs. Originally, the programming capacity estimated for OBAG 2 amounted to \$790 million (down from \$827 million programmed with OBAG 1). The estimated decrease in revenues between program cycles reflects annual apportionment amounts in the federal surface transportation act (Moving Ahead for Progress in the 21<sup>st</sup> Century Act, or MAP-21) authorized after approval of OBAG 1 not keeping pace with estimated growth rates, as well as changes in state and federal programs that impacted estimated regional funding levels (such as the elimination of the Transportation Enhancements (TE) program). Subsequent to the Commission's original adoption of OBAG 2, Congress approved the Fixing America's Surface Transportation (FAST) Act, providing an additional

estimated \$72 million during the OBAG 2 period. The revised total STP/CMAQ funding for OBAG 2 is \$862 million.

The OBAG 2 program continues to integrate the region's federal transportation program with California's climate statutes and the Sustainable Communities Strategy (SCS), and contributes to the implementation of the goals and objectives of the Regional Transportation Plan. Funding distribution formulas to the counties will continue to encourage land-use, housing and complete streets policies that support the production of housing with supportive transportation investments. This is accomplished through the following principles:

**1. Realistic Revenue Assumptions:**

OBAG 2 funding is based on anticipated future federal transportation program apportionments. In past years, the Surface Transportation Block Grant Program/Congestion Mitigation and Air Quality Improvement programs (STP/CMAQ) have not grown, and changes in the federal and state programs (such as elimination of the Transportation Enhancement (TE) program) resulted in decreases that were not anticipated when OBAG 1 was developed. For the initial OBAG 2 estimates, a 2% annual escalation rate above current federal revenues was assumed, consistent with the mark-up of the Developing a Reliable and Innovative Vision for the Economy (DRIVE) Act by the Senate Environment and Public Works Committee. Even with the 2% escalation, revenues for OBAG 2 were expected to be 4% less than OBAG 1 revenues. Following the Commission's original adoption of OBAG 2, an additional \$72 million in FAST Act revenue was made available, for a total of \$862 million for OBAG 2 - an increase of 4% over the OBAG 1 funding level.

If there are significant changes in federal apportionments over the OBAG 2 time period, MTC will return to the Commission to recommend adjustments to the program. These adjustments could include increasing or decreasing funding amounts for one or more programs, postponement of projects, expansion of existing programs, development of new programs, or adjustments to subsequent programming cycles.

Upon enactment and extension of the federal surface transportation authorizations expected during the OBAG funding period, MTC will need to closely monitor any new federal programs, their eligibility rules, and how funding is distributed to the states and regions. It is anticipated that any changes to the current federal programs would likely overlap to a large extent with projects that are currently eligible for funding under 23 U.S.C., although the actual fund sources may no longer mirror the current STP and CMAQ programs. Therefore, any reference to a specific fund source in the OBAG 2 programming serves as a proxy for replacement fund sources for which MTC has discretionary project selection and programming authority.

OBAG 2 programming capacity is based on apportionment rather than obligation authority. Because obligation authority (the amount actually received) is less than the apportionment level, there is typically a carryover balance from year to year of unfunded

commitments. MTC's current negative obligation authority imbalance is \$51 million, and has held steady the past few years as a result of the region's excellent delivery record. Successful project delivery has allowed MTC to capture additional, unused obligation authority (OA) from other states, enabling the region to deliver additional projects each year. Because this negative balance has held steady, there does not appear to be a need to true-up the difference at this time. MTC staff will continue to monitor this OA shortfall throughout the OBAG 2 period and make adjustments as necessary in the next round of programming.

## **2. Support Existing Programs:**

Originally, the OBAG program was expected to face declining revenues from \$827 million in OBAG 1 to \$790 million in OBAG 2. Therefore, no new programs were introduced with OBAG 2 and the anticipated funding reduction was spread among the various transportation needs supported in OBAG 1. With the \$72 million in additional revenues from the FAST Act, funding for OBAG 2 increased to \$862 million.

The OBAG 2 program categories and commitments for the regional and county programs are outlined in Appendix A-1.

## **3. Support Plan Bay Area's Sustainable Communities Strategy by Linking OBAG Funding to Housing:**

### County Program Distribution Formula

OBAG 1's county distribution formula leveraged transportation dollars to reward jurisdictions that produce housing and accept housing allocations through the Regional Housing Need Allocation (RHNA) process. The formula also considered the share of affordable housing within housing production and RHNA allocations.

In OBAG 2, the county distribution formula is updated to use the latest housing data from the Association of Bay Area Government (ABAG). The formula is also based on housing over a longer time frame, considering housing production between 1999 and 2006 (weighted 30%) and between 2007 and 2014 (weighted 70%) in order to mitigate the effect of the recent recession and major swings in housing permit approvals.

The OBAG 2 formula places additional emphasis on housing production and the share of affordable housing within both production and RHNA. The formula also expands the definition of affordable housing to include housing for moderate-income households in addition to low- and very low-income households. Furthermore, housing production is capped at the total RHNA allocation.

The distribution formula factors for OBAG 2 are detailed in the table below.

**OBAG 2 County Distribution Formula Factors**

	<b>Population</b>	<b>Housing RHNA</b>	<b>Housing Production</b>	<b>Housing Affordability *</b>
<b>OBAG 2</b>	<b>50%</b>	<b>20%</b>	<b>30%</b>	<b>60%</b>

\*OBAG 2 housing affordability factor includes housing at the very low, low and moderate income levels which are weighted within both housing production and RHNA allocation.

The distribution formula is further adjusted to ensure that CMA base planning funds are no more than 50% of the total distribution for that county. The resulting proposed county program formula distributions are presented in Appendix A-2.

Priority Development Areas (PDAs)

OBAG 2 continues to support the SCS for the Bay Area by promoting transportation investments in Priority Development Areas (PDAs).

- PDA Investment targets remain at OBAG 1 levels: 50% for the four North Bay counties and 70% for the remaining counties.
- PDA Investment and Growth Strategies should play a strong role in guiding the County CMA project selection and be aligned with the Plan Bay Area update cycle.

Priority Conservation Areas (PCAs)

OBAG 2 maintains the two separate Priority Conservation Area (PCA) programs as introduced in OBAG 1, with one program dedicating funding to the four North Bay counties and one competitive program for the remaining counties.

**4. Continue Flexibility and Local Transportation Investment Decision Making:**

OBAG 2 continues to provide the same base share of the funding pot (40%) to the county CMAs for local decision-making. The program allows CMAs the flexibility to invest in various transportation categories, such as Transportation for Livable Communities (TLC), bicycle and pedestrian improvements, local streets and roads preservation, and planning and outreach activities.

In addition to the base county program, two previously regional programs, Safe Routes to School and the Federal-Aid Secondary (rural roads), have been consolidated into the county program with guaranteed minimum funding amounts to ensure the programs continue to be funded at specified levels.

**5. Cultivate Linkages with Local Land-Use Planning:**

As a condition to access funds, local jurisdictions need to continue to align their general plans' housing and complete streets policies as a part of OBAG 2 and as separately required by state law.

### Complete Streets Requirement

Jurisdictions must adopt a complete streets resolution by the date the CMAs submit their OBAG 2 project recommendations to MTC, incorporating MTC's required complete streets elements as outlined in [MTC's Complete Streets Guidance](#).

Alternatively, to recognize local jurisdictions' efforts to update their general plan circulation element to incorporate the provisions of the 2008 Complete Streets Act in response to the provisions stated in OBAG 1, a jurisdiction may adopt a significant revision to the circulation element of the general plan that complies with the Act after January 1, 2010 and before the date the CMAs submit their OBAG 2 project recommendations to MTC.

The approach above focuses on the adoption of local complete streets resolutions, while acknowledging the jurisdictions that took efforts to update their circulation element in anticipation of future OBAG requirements.

### Housing Element Requirement

Jurisdictions (cities and counties) must have a general plan housing element adopted and certified by the California Department of Housing and Community Development (HCD) for 2014-2022 RHNA by May 31, 2015. Jurisdictions that have failed to meet this deadline must have their housing elements certified by HCD by June 30, 2016 in order to be eligible to receive OBAG 2 funding.

Furthermore, under state statute, jurisdictions are required to submit Housing Element Annual Reports by April 1 every year. All cities and counties receiving OBAG 2 funding must comply with this requirement during the entire OBAG 2 funding period or risk deprogramming of OBAG 2 funding.

The complete streets and housing requirements are not required for jurisdictions with no general plan or land use authority such as Caltrans, CMAs or transit agencies under a JPA or district (not under the governance of a local jurisdiction). However, in such instances the jurisdiction in which the project is physically located must meet these requirements, except for transit/rail agency property such as, track, rolling stock or a maintenance facility.

### Surplus Land Requirement

Cities and counties receiving funds through the County Program must adopt a surplus land resolution by the date the CMAs submit their OBAG 2 project recommendations to MTC. The resolution must verify that any disposition of surplus land undertaken by the jurisdiction complies with the State Surplus Land Act, as amended by AB 2135, 2014. MTC will issue guidance to assist cities and counties in drafting a resolution to meet this requirement. This guidance will be posted on the OBAG 2 website: <http://mtc.ca.gov/our-work/fund-invest/federal-funding/obag-2>.

This requirement shall not apply to charter cities unless and until a final court decision is rendered that charter cities are subject to the provisions of the Act. In addition, the resolution is not required for public agencies with no general plan or land use authority.

#### **6. Continue Transparency and Outreach to the Public Throughout the Process:**

CMAAs will continue to report on their outreach process as part of their solicitation and selection of projects for OBAG. Each CMA will develop a memorandum addressing outreach efforts, agency coordination, distribution methodology and Title VI compliance. CMA reporting requirements are provided in Appendix A-10, the Checklist for CMA and Local Jurisdiction Compliance with MTC Resolution 4202.

### **PROGRAM CATEGORIES AND PROJECT LIST**

Appendix A-1 outlines the OBAG 2 program categories and commitments.

Attachment B of Resolution 4202 contains the list of projects to be programmed under the OBAG 2 program. Attachments B-1 and B-2 list the projects receiving OBAG 2 funding through the regional programs and county programs respectively. The project lists are subject to project selection actions (conducted by MTC for most of the regional programs and by the CMAAs for the county programs and other funds distributed to them). MTC staff will update Attachments B-1 and B-2 as projects are selected or revised by the Commission and CMAAs and are included in the federal Transportation Improvement Program (TIP).

### **GENERAL PROGRAMMING POLICIES**

The following programming policies apply to all projects funded in OBAG 2:

- 1. Public Involvement.** MTC is committed to a public involvement process that is proactive and provides comprehensive information, timely public notice, public access to key decisions, and opportunities for continuing involvement. MTC provides many methods to fulfill this commitment, as outlined in the *MTC Public Participation Plan*, Resolution No. 4174. The Commission's adoption of the OBAG 2 program, including policy and procedures, meets the provisions of the *MTC Public Participation Plan*. MTC's advisory committees and the Bay Area Partnership have been consulted in the development of funding commitments and policies for this program; and opportunities to comment have been provided to other stakeholders and members of the public.

Furthermore, investments made in the OBAG 2 program must be consistent with federal Title VI requirements. Title VI prohibits discrimination on the basis of race, color, income, and national origin in programs and activities receiving federal financial assistance. Public outreach to and involvement of individuals in low income and minority communities covered under Title VI of the Civil Rights Act and the Executive Order pertaining to Environmental Justice is critical to both local and regional decisions. Additionally, when CMAAs select projects for funding at the county level, they must consider equitable solicitation and

selection of project candidates in accordance with federal Title VI requirements (as set forth in Appendix A-7).

- 2. Commission Approval of Programs and Projects and the Transportation Improvement Program (TIP).** Projects approved as part of the OBAG 2 program must be amended into the TIP. The federally-required TIP is a comprehensive listing of all San Francisco Bay Area surface transportation projects that receive federal funds, and/or are subject to a federally required action, such as federal environmental clearance, and/or are regionally significant for air quality conformity or modeling purposes. It is the project sponsor's responsibility to ensure their project is properly programmed in the TIP in a timely manner. Where CMAs are responsible for project selection, the Commission will revise the TIP to include the resulting projects and Attachment B to this Resolution may be updated by MTC staff to reflect these revisions. Where responsibility for project selection is assigned to MTC, TIP amendments and a revision to Attachment B to add or delete a project will be reviewed and approved by the Commission. Changes to existing projects in Attachment B may be made by MTC staff following approval of a related TIP revision.
- 3. Minimum Grant Size.** Funding grants per project must be a minimum of \$500,000 for counties with a population over 1 million (Alameda, Contra Costa, and Santa Clara counties) and \$250,000 for counties with a population under one million (Marin, Napa, San Francisco, San Mateo, Solano, and Sonoma counties). The objective of a grant minimum requirement is to maximize the efficient use of federal funds and minimize the number of federal-aid projects which place administrative burdens on project sponsors, CMAs, MTC, Caltrans, and Federal Highway Administration (FHWA) staff.

To provide flexibility, an alternative averaging approach may be used. For this approach, a CMA may program grant amounts no less than \$100,000 for any project, provided that the overall average of all grant amounts within their County CMA Program meets the county minimum grant amount threshold. This lower threshold of \$100,000 also applies to Safe Routes to School projects, which are typically of smaller scale.

Furthermore, all OBAG 2 programming amounts must be rounded to thousands.

- 4. Air Quality Conformity.** In the Bay Area, it is the responsibility of MTC to make a regional air quality conformity determination for the TIP in accordance with federal Clean Air Act requirements and Environmental Protection Agency (EPA) conformity regulations. MTC evaluates the impact of the TIP on regional air quality during the update of the TIP. Non-exempt projects that are not incorporated in the current finding for the TIP will not be considered for funding in the OBAG 2 program until the development of a subsequent air quality finding for the TIP. Additionally, the U.S. Environmental Protection Agency has designated the Bay Area as a non-attainment area for fine particulate matter (PM<sub>2.5</sub>). Therefore, based on consultation with the MTC Air Quality Conformity Task Force, projects deemed Projects of Air Quality Concern (POAQC) must complete a hot-spot analysis as required by the Transportation Conformity Rule. Generally, POAQC are those projects that result in significant increases in, or concentrations of, emissions from diesel vehicles.

- 5. Environmental Clearance.** Project sponsors are responsible for compliance with the requirements of the California Environmental Quality Act (Public Resources Code § 21000 et seq.), the State Environmental Impact Report Guidelines (14 California Code of Regulations Section § 15000 et seq.), and the National Environmental Protection Act (42 U.S.C. § 4321 et seq.) standards and procedures for all projects with federal funds.
- 6. Application and Resolution of Local Support.** Once a project has been selected for funding, project sponsors must submit a completed project application for each project through MTC's Funding Management System (FMS). The project application consists of two parts: 1) a project submittal and/or TIP revision request to MTC staff through FMS, and 2) a Resolution of Local Support approved by the project sponsor's governing board or council and submitted in FMS. A template for the Resolution of Local Support can be downloaded from the MTC website using the following link: <http://mtc.ca.gov/our-work/fund-invest/federal-funding/obag-2>.
- 7. Project Screening and Compliance with Regional and Federal Requirements.** MTC staff will perform a review of projects proposed for OBAG 2 to ensure 1) eligibility; 2) consistency with the region's long-range plan; and 3) project readiness. In addition, project sponsors must adhere to directives such as the Complete Streets Requirements, Housing Element Requirements, and the Regional Project Funding Delivery Policy (MTC Resolution No. 3606), as outlined below, and provide the required matching funds. Project sponsors should note that fund source programs, eligibility criteria, and regulations may change as a result of the passage of new surface transportation authorization legislation. In this situation, MTC staff will work to realign new fund sources with the funding commitments approved by the Commission.
- ▶ **Federal Project Eligibility:** STP is the most flexible source of federal funding, with a wide range of projects that may be considered eligible. Eligible projects include roadway and bridge improvements (construction, reconstruction, rehabilitation, resurfacing, restoration), public transit capital improvements, pedestrian and bicycle facilities, transportation system management, transportation demand management, transportation control measures, mitigation related to an STP project, surface transportation planning activities, and safety. More detailed eligibility requirements can be found in 23 U.S.C § 133 and at: <http://www.fhwa.dot.gov/map21/factsheets/stp.cfm>.
- CMAQ is a more targeted funding source. In general, CMAQ funds may be used for new or expanded transportation projects, programs, and operations that help reduce emissions. Eligible project categories that meet this basic criteria include:
- Transportation activities in an approved State Implementation Plan (SIP),
  - Transportation Control Measures (TCMs), alternative fuels, traffic flow improvements, transit expansion projects, new bicycle and pedestrian facilities and programs, travel demand management, outreach and rideshare activities, telecommuting programs, intermodal freight, planning and project development activities, and experimental



pilot projects. For more detailed information, refer to FHWA's revised guidance provided at: [http://www.fhwa.dot.gov/environment/air\\_quality/cmaq/policy\\_and\\_guidance/](http://www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance/).

MTC reserves the right to assign specific fund sources to projects based on availability and eligibility requirements. In the event that a new surface transportation authorization is enacted during implementation of OBAG 2 that materially alters these programs, MTC staff will work with the CMAs and project sponsors to match projects with appropriate federal fund programs.

- ▶ **RTP Consistency:** Projects funded through OBAG 2 must be consistent with the adopted Regional Transportation Plan (currently *Plan Bay Area*). Project sponsors must identify each project's relationship with meeting the goals and objectives of the RTP, including the specific RTP ID number or reference. RTP consistency will be verified by MTC staff for all OBAG 2 projects. Projects in the County program will also be reviewed by CMA staff prior to submitting selected projects to MTC.
- ▶ **Complete Streets Policy:** Federal, state and regional policies and directives emphasize the accommodation of bicyclists, pedestrians, and persons with disabilities when designing transportation facilities. MTC's Complete Streets Policy (MTC Resolution No. 3765) created a checklist that is intended for use on projects to ensure the accommodation of non-motorized travelers is considered at the earliest conception or design phase. The county CMAs ensure that project sponsors complete the checklist before projects are considered by the county for OBAG 2 funding and submitted to MTC. The CMAs are required to make completed checklists available to their Bicycle and Pedestrian Advisory Committee (BPAC) for review prior to CMAs' project selection actions.

Related state policies include: Caltrans Complete Streets Policy Deputy Directive 64 R1, which stipulates pedestrians, bicyclists and persons with disabilities must be considered in all programming, planning, maintenance, construction, operations, and project development activities and products; and the California Complete Streets Act of 2008, which requires local agency general plan circulation elements to address all travel modes.

- ▶ **Project Delivery and Monitoring:** OBAG 2 funding is available in the following five federal fiscal years: 2017-18, 2018-19, 2019-20, 2020-21, and 2021-22. Funds may be programmed in any of these years, conditioned upon the availability of federal apportionment and obligation authority (OA), and subject to TIP financial constraint requirements. In addition, in order to provide uninterrupted funding to ongoing efforts and to provide more time to prepare for the effective delivery of capital projects, priority of funding for the first year of programming apportionment (FY 2017-18) will be provided to ongoing programs, such as regional and CMA planning, non-infrastructure projects, and the preliminary engineering phase of capital projects.

Specific programming timelines will be determined through the development of the Annual Obligation Plan, which is developed by MTC staff in collaboration with the Bay Area Partnership technical working groups and project sponsors. Once programmed in the TIP, the funds must be obligated by FHWA or transferred to the Federal Transit Administration (FTA) within the federal fiscal year the funds are programmed in the TIP. Additionally, all OBAG 2 funds must be obligated no later than January 31, 2023.

Obligation deadlines, project substitutions and redirection of project savings will continue to be governed by the MTC Regional Project Funding Delivery Policy (MTC Resolution No. 3606 and any subsequent revisions). All funds are subject to obligation, award, invoicing, reimbursement and project close-out requirements. The failure to meet these deadlines may result in the de-programming and redirection of funds to other projects.

To further facilitate project delivery and ensure all federal funds in the region are meeting federal and state regulations and deadlines, every recipient of OBAG 2 funding is required to identify and maintain a staff position that serves as the single point of contact (SPOC) for the implementation of all FHWA-administered funds within that agency. The person in this position must have sufficient knowledge and expertise in the federal-aid delivery process to coordinate issues and questions that may arise from project inception to project close-out. The agency is required to identify the contact information for this position at the time of programming of funds in the TIP, and to notify MTC immediately when the position contact has changed. This person will be expected to work closely with FHWA, Caltrans, MTC and the respective CMA on all issues related to federal funding for all FHWA-funded projects implemented by the recipient.

Project sponsors that continue to miss delivery milestones and funding deadlines for any federal funds are required to prepare and update a delivery status report on all projects with FHWA-administered funds they manage, and participate, if requested, in a consultation meeting with the county CMA, MTC and Caltrans prior to MTC approving future programming or including any funding revisions for the agency in the TIP. The purpose of the status report and consultation is to ensure the local public agency has the resources and technical capacity to deliver FHWA federal-aid projects, is fully aware of the required delivery deadlines, and has developed a delivery timeline that takes into consideration the requirements and lead-time of the federal-aid process within available resources.

By applying for and accepting OBAG 2 funding, the project sponsor is acknowledging that it has and will maintain the expertise and staff resources necessary to deliver the federal-aid project within the project-funding timeframe.

- Funding Exchange: Sometimes federal funds may not be the best fit for projects being implemented to meet plan and program goals and objectives. In such cases, federal OBAG funding may be exchanged with non-federal funds. MTC staff will work with the

CMAs when such opportunities arise. Such exchanges must be consistent with MTC's fund exchange policy (MTC Resolution No. 3331) and the locally-funded project must be included in the federal TIP.

- ▶ **Local Match:** Projects funded with STP or CMAQ funding require a non-federal local match. Although local match requirements are subject to change, the current local match requirement for STP and CMAQ funded projects in California is 11.47% of the total project cost, with FHWA providing up to 88.53% of the total project cost through reimbursements. For capital projects, sponsors that fully fund the project development or Preliminary Engineering (PE) phase with non-federal funds may use toll credits in lieu of a match for the construction phase. For these projects, sponsors must still meet all federal requirements for the PE phase.
- ▶ **Fixed Program and Specific Project Selection:** Projects are chosen for the program based on eligibility, project merit, and deliverability within established deadlines. The OBAG 2 program is project-specific and the funds programmed to projects are for those projects alone.

The OBAG 2 program funding is fixed at the programmed amount; therefore, any project cost increases may not be covered by additional OBAG 2 funds. Project sponsors are responsible for securing the necessary match, and for cost increases or additional funding needed to complete the project, including contingencies.

- 8. Regional STP/CMAQ Exchanges.** It is often difficult for smaller regions to fully utilize their federal funds and deliver projects through the federal-aid process. This can place these more rural regions in conflict with state and federal timely use funds provisions, such as Sections 182.6 and 182.7 of the State Streets and Highways Code which require federal apportionment to be secured (obligated) within three years of federal eligibility, or when Congress enacts rescissions of unobligated funds. The SF Bay Area region is often in the opposite situation – more projects are ready for delivery than funds available each year.

Regions also find themselves in situations where a project or activity is ineligible for a certain federal fund source such as CMAQ, and may require STP, while another region can easily use either fund source.

To avoid the lapsing of funds and address these funding issues, regions may enter into exchange agreements, where older unused STP/CMAQ funds subject to lapse or rescission from one region are "exchanged" with future funds from a region that can use the funds by the deadline. Or a simple fund source exchange is needed. Such exchanges benefit both regions by avoiding the loss of funds in one region, while another region can advance projects that may be stalled due to a lack of eligible funding.

To facilitate such exchanges, the MTC Executive Director or designee is hereby authorized to sign letters of understanding with other regions for the exchange of STP/CMAQ funds with the following conditions and limitations.

- The exchange does not negatively impact the delivery of regional STP/CMAQ projects.
- The amount exchanged does not exceed \$2 million per region per year.
- The exchange is a dollar for dollar exchange.
- The exchange is allowed under Caltrans' obligation authority management policy.
- The Letter of Understanding can be executed in time for the MTC to secure the funds prior to any lapse or rescission.
- If any timely use of funds deadlines or Caltrans processes are not met in time and therefore result in the loss of apportionment balance, MTC's apportionment shall not be negatively affected and the Letter of Understanding is null and void.

Exchanges beyond these conditions and limitations may be approved by a standing Committee of the Commission.

## **REGIONAL PROGRAMS**

The programs below comprise the OBAG 2 Regional Programs, managed by MTC. Funding amounts for each program are included in Appendix A-1. Individual projects will be added to Attachment B-1 and B-2 as they are selected and included in the federal TIP.

### ***1. Regional Planning Activities***

This program provides funding to support regional planning and outreach activities.

Appendix A-3 details the funding amounts and distribution for planning and outreach activities.

### ***2. Pavement Management Program***

This continues the region's acclaimed Pavement Management Program (PMP) and related activities including the Pavement Technical Assistance Program (PTAP), training, and regional and statewide local streets and roads needs assessment. MTC provides grants to local jurisdictions to perform regular inspections of their local streets and roads networks and to update their pavement management systems which is a requirement to receive certain funding. MTC also assists local jurisdictions in conducting associated data collection and analysis efforts including local roads needs assessments and inventory surveys and asset management analysis that feed into regional planning efforts. MTC provides, training, research and development of pavement and non-pavement preservation management techniques, and participates in the statewide local streets and roads needs assessment effort.

To support the collection and analysis of local roads asset conditions for regional planning efforts and statewide funding advocacy, and to be eligible for OBAG 2 funding for local streets and roads, a jurisdiction must:

- Have a certified Pavement Management Program (StreetSaver® or equivalent) updated at least once every three years (with a one-year extension allowed); and
- Fully participate in the statewide local streets and road needs assessment survey (including any assigned funding contribution); and

- Provide updated information to the Highway Performance Monitoring System (HPMS) at least once every 3 years (with a one-year grace period allowed).

### **3. Regional Priority Development Area (PDA) Planning & Implementation**

Funding in this program implements the following:

Regional PDA Planning and Implementation: The PDA Planning Program places an emphasis on intensifying land uses at and near transit stations and along transit corridors in PDAs. The key goals of the program are to: increase supply of affordable and market rate housing, jobs and services within the PDA planning area; boost transit ridership and thereby reduce vehicle miles traveled by PDA residents, employees and visitors; increase walking and bicycling by improving multi-modal access and effectively managing parking; and locate key services and retail within the PDA planning area. Funding is available for regional planning and implementation efforts and grants to jurisdictions to provide PDA planning support, and typically fund specific plans and programmatic Environmental Impact Reports. PDA plans funded through the program focus on a range of transit-supportive elements including market demand analysis, affordable housing strategies, multi-modal connectivity including pedestrian-friendly design standards, parking demand analysis, infrastructure development, implementation planning and financing strategies and implementation of the best practices identified in the Air District's Planning Healthy Places guidelines.

The PDA Planning Program will give priority to cities with high risk of displacement in order to support the development of local policies and programs to meaningfully address identified housing issues.

Community-Based Transportation Planning: A portion of this program will be dedicated to the Community-Based Transportation Planning (CBTP) grant program. These locally-led plans address the mobility needs of low-income households in the region's 35 Communities of Concern. Grant funds will be used to update CBTPs that are in many cases more than 10 years old.

Naturally Occurring Affordable Housing (NOAH): Consistent with the OBAG 2 framework and PDA Planning Program, a NOAH revolving loan fund will be established as a complement to the existing TOAH loan products for new construction. NOAH loans would be used to buy apartment buildings to create long-term affordability where displacement risk is high and to secure long-term affordability in currently subsidized units that are set to expire. NOAH investments will be made in PDAs or Transit Priority Areas.

### **4. Climate Initiatives Program**

The purpose of the OBAG 2 Climate Initiatives Program is to support the implementation of strategies identified in Plan Bay Area to achieve the required CO<sub>2</sub> emissions reductions per SB375 and federal criteria pollutant reductions. Investments focus on projects and programs with effective greenhouse gas emission reduction results.

Spare the Air Youth: A portion of the Climate Initiatives program would be directed to the implementation of Spare the Air Youth program.

## **5. Regional Active Operational Management**

This program is administered at the regional level by MTC to actively manage congestion through cost-effective operational strategies that improve mobility and system efficiency across freeways, arterials and transit modes. Funding continues to be directed to evolving MTC operational programs such as next generation 511, Freeway Service Patrol (FSP), incident management program, managed lanes and regional rideshare program. Funding will also be directed to new initiatives such as the Columbus Day Initiative that deploys advanced technologies and Transportation Management Systems that ensures the existing and new technology infrastructure is operational and well-maintained.

### Columbus Day Initiative

The Columbus Day Initiative (CDI) builds on the proven success of its predecessor program (the Freeway Performance Initiative), which implemented traditional fixed time-of-day freeway ramp metering and arterial signal timing projects that achieved significant delay reduction and safety on Bay Area freeways and arterials at a fraction of the cost of traditional highway widening projects. The CDI aims to deliver cost-effective, technology-driven operational improvement projects such as, adaptive ramp metering, hard shoulder running lanes, queue warning signs, connected vehicle technologies, shared mobility technologies, and regional arterial operations strategies. Projects would target priority freeway and arterial corridors with significant congestion. Funding for performance monitoring activities and corridor studies is included to monitor the state of the system and to identify and assess the feasibility of operational strategies to be deployed.

### Transportation Management Systems

This program includes the operations and management of highway operations field equipment; critical freeway and incident management functions; and Transportation Management Center (TMC) staff resources needed to actively operate and maintain the highway system.

### Bay Bridge Forward Project

As part of the overall OBAG 2 framework, this project encompasses the implementation of several near-term, cost-effective operational improvements that offer travel time savings, reliability and lower costs for carpooling and bus/ferry transit use to increase person throughput and reduce congestion, incidents, and emissions in the San Francisco-Oakland Bay Bridge corridor.

## **6. Transit Priorities Program**

The objective of the Transit Priorities Program is to assist transit operators to fund major fleet replacements, including the BART Car Replacement Phase 1 project, fixed guideway rehabilitation and other high-scoring capital needs, including replacement of Clipper equipment and development of Clipper 2.0, that are consistent with MTC's Transit Capital Priorities policy for programming federal transit funds (MTC Resolution 4140 or successor resolution).

The program also implements elements of the Transit Sustainability Project by making transit-supportive investments in major transit corridors that can be carried out within two years

through the Transit Performance Initiative (TPI). The focus of TPI is on making cost-effective operational improvements on significant trunk lines which carry the largest number of passengers in the Bay Area including transit signal prioritization, passenger circulation improvements at major hubs, boarding/stop improvements and other improvements to improve the passenger experience.

### **7. Priority Conservation Area (PCA) Program**

The Priority Conservation Area (PCA) Program provides funding for the development of plans and projects to assist in the preservation and enhancement of rural lands. Specifically, projects must support Plan Bay Area by preserving and enhancing the natural, economic and social value of rural lands and open space amidst a growing population across the Bay Area, for residents and businesses. The PCA program includes one approach for the North Bay counties (Marin, Napa, Solano, and Sonoma) and a second approach for the remaining five counties.

In the North Bay, each of the four CMAs will take the lead to develop a county-wide program, building on PCA planning conducted to date to select projects for funding.

For the remaining counties, MTC will partner with the Coastal Conservancy, a California State agency, to program the PCA funds. MTC will provide federal funding which will be combined with the Coastal Conservancy's own program funds in order to support a broader range of projects (i.e. land acquisition and easement projects) than can be accommodated with federal transportation dollars alone. The Coastal Conservancy, MTC, and ABAG staff will cooperatively manage the call for proposals.

The minimum non-federal match required for PCA-program funding is 2:1.

As a part of the update to *Plan Bay Area*, MTC is exploring implementing a Regional Advance Mitigation Planning (RAMP) Program. RAMP would mitigate certain environmental impacts from multiple planned transportation projects, rather than mitigating on a less-efficient per-project level. Partnering arrangements can be established to leverage multiple fund sources in order to maximize benefits of the RAMP and PCA programs. As such, PCA funds may be used to deliver net environmental benefits to a RAMP program project.

In instances where federal funds may not be used for this purpose, sponsors may exchange OBAG 2 funds with eligible non-federal funds. Such exchanges must be consistent with MTC's fund exchange policy (MTC Resolution No. 3331).

Appendix A-9 outlines the framework for this program including goals, project screening, eligibility, eligible sponsors, and project selection.

### **8. Housing Production Incentive**

As part of the OBAG 2 framework, MTC developed a challenge grant program for the production and preservation of affordable housing. The purpose of the program is to reward local jurisdictions that produce the most housing units at the very low, low, and moderate income levels.

On October 24, 2018, MTC approved Resolution No. 4348, establishing the framework and qualifying criteria for the Housing Incentive Pool (HIP).

The funds provided for the HIP program through OBAG 2 would be STP/CMAQ, and would need to be used only for federally-eligible transportation purposes. Additional funds may be added outside of OBAG 2 to increase the size of the challenge grant program.

### **COUNTY PROGRAMMING POLICIES**

The policies below apply to the programs managed by the county Congestion Management Agencies (CMAs) or substitute agency:

- ▶ Program Eligibility: The CMA, or substitute agency, may program funds from its OBAG 2 county fund distribution to projects that meet the eligibility requirements for any of the following transportation improvement types:
  - Planning and Outreach Activities
  - Local Streets and Roads Preservation
  - Bicycle and Pedestrian Improvements
  - Transportation for Livable Communities
  - Safe Routes To School
  - Priority Conservation Areas
  - Federal Aid Secondary (FAS) Improvements
- ▶ Fund Sources & Formula Distribution: OBAG 2 is funded primarily from two federal fund sources: STP and CMAQ. The CMAs will be provided a breakdown of specific OBAG 2 fund sources, with the understanding that actual fund sources are subject to change. Should there be significant changes to federal fund sources, MTC staff will work with the CMAs to identify and realign new fund sources with the funding commitments approved by the Commission. Furthermore, due to strict funding availability and eligibility requirements, the CMAs must adhere to the fund source limitations provided. Exceptions may be granted by MTC staff based on actual fund source availability and final federal apportionment levels.

Consistent with OBAG 1, 60% of available OBAG 2 funding is assigned to Regional Programs and 40% assigned to the base County CMA Programs. The Safe Routes to School (SRTS) and Federal Aid Secondary (FAS) programs augment the county base funding, bringing the final proportionate share to 55% regional and 45% county. The Base county funds (SRTS & FAS have their own formula distribution) are distributed to



each county based on the OBAG 2 county distribution formula (see page 3). Counties are further guaranteed that the funding amount for planning purposes will not exceed 50% of their total distribution. This results in the county of Napa receiving additional funding. This planning guarantee clause results in a slight deviation in the final OBAG 2 fund distribution for each county. The base County CMA Program fund distribution after the planning guarantee adjustment is shown in Appendix A-2.

► Priority Development Area (PDA) Policies

- PDA minimum investment: CMAs in larger counties (Alameda, Contra Costa, San Mateo, San Francisco, and Santa Clara) shall direct at least 70% of their OBAG 2 investments to PDAs. For North Bay counties (Marin, Napa, Solano, and Sonoma) this minimum target is 50% to reflect the more rural nature of these counties. CMA planning and outreach costs partially count towards PDA minimum investment targets (70% or 50%, in line with each county's PDA minimum investment target). The guaranteed minimum for Priority Conservation Area (PCA), Safe Routes to School (SRTS), and Federal Aid Secondary (FAS) do not count towards PDA targets. The PDA/non-PDA funding split is shown in Appendix A-2.
- PDA boundary delineation: Refer to [http://gis.mtc.ca.gov/interactive\\_maps/](http://gis.mtc.ca.gov/interactive_maps/) which provides a GIS overlay of the PDAs in the Bay Area to exact map boundaries including transportation facilities. This map is updated as ABAG approves new PDA designations.
- Defining proximate access to PDAs: The CMAs may determine that a project located outside of a PDA provides proximate access to the PDA, and thus counts towards the county's minimum PDA investment target. The CMA is required to map these projects along with the associated PDA(s) and provide a policy justification for designating the project as supporting a PDA through proximate access. This information should assist decision makers, stakeholders, and the public in evaluating the impact of the investment on a nearby PDA, to determine whether or not the investment should be credited towards the county's PDA minimum investment target. This information must be presented for public review when the CMA board acts on OBAG programming decisions.
- PDA Investment & Growth Strategy: Updates to each county's PDA Investment & Growth Strategy are required every four years and must be adopted by the CMA Board. The updates should be coordinated with the countywide plan and Regional Transportation Plan (RTP) updates to inform RTP development decisions. Interim status reports are required two years after each update to address needed revisions and provide an activity and progress status. The interim status report required for 2019 will be satisfied

through a collaborative effort between the CMAs and MTC. See Appendix A-8 for details.

- ▶ Project Selection: County CMAs or substitute agencies are given the responsibility to develop a project selection process. The process should include solicitation of projects, identifying evaluation criteria, conducting outreach, evaluating project applications, and selecting projects.
  - **Public Involvement**: In selecting projects for federal funding, the decision making authority is responsible for ensuring that the process complies with federal statutes and regulations. In order to ensure that the CMA process for administering OBAG 2 is in compliance with federal regulations, CMAs are required to lead a public outreach process as directed by Appendix A-7.
  - CMAs must adopt a specific scoring methodology for funding allocation to projects within PDAs or Transit Priority Areas (TPAs) that rewards jurisdictions with the most effective housing anti-displacement policies.
  - MTC and the CMAs will conduct an analysis of the impact of this incentive-based scoring methodology on project selection and local anti-displacement and affordable housing production policy development. The findings will be used to inform future planning and funding priorities.
  - **Unified Call for Projects**: CMAs are requested to issue one unified call for projects for their OBAG 2 program. Final project lists are due to MTC by July 31, 2017, with all associated project information submitted to MTC using the Fund Management System (FMS) by August 31, 2017. On a case-by-case basis and as approved in advance by MTC staff, these deadlines may be waived to allow coordination with other county-wide call for projects or programming needs. The goal is to coordinate the OBAG2 call for projects, and provide project sponsors the maximum time to deliver projects.
  - **Project Programming Targets and Delivery Deadlines**: CMAs must program their block grant funds over the OBAG 2 period (FY 2017-18 through FY 2021-22). In general, the expectation is that on-going activities such as CMA planning, non-infrastructure projects and the Preliminary Engineering (PE) phase of projects would use capacity in the first year, followed by the capital phases of project in later years.
  - OBAG 2 funding is subject to the provisions of the Regional Project Delivery Policy (MTC Resolution 3606, or its successor) including the deadlines for Request for Authorization (RFA) submittal and federal authorization/obligation. Additionally, the following funding deadlines apply for each county, with earlier delivery strongly encouraged:
    - At least half of the OBAG 2 funds, must be obligated (federal authorization/FTA Transfer) by January 31, 2020.

- All remaining OBAG 2 funds must be obligated by January 31, 2023.
- ▶ Performance and Accountability Policies: Jurisdictions need to comply with the following policies, as well as other requirements noted in the document, in order to be eligible recipients of OBAG 2 funds.
  - Adopt a complete streets resolution by the date the CMAs submit their OBAG 2 project recommendations to MTC, incorporating MTC's required complete streets elements as outlined in [MTC's Complete Streets Guidance](#).

Alternatively, to recognize local jurisdiction's efforts to update their general plan circulation element to incorporate the provisions of the 2008 Complete Streets Act in response to the provisions stated in OBAG 1, a jurisdiction may adopt a significant revision to the circulation element of the general plan that complies with the Act after January 1, 2010.

For compliance, a substantial revision of the circulation element, passed after January 1, 2010, shall "...plan for a balanced, multimodal transportation network that meets the needs of all users of streets, roads, and highways for safe and convenient travel in a manner that is suitable to the rural, suburban, or urban context of the general plan," while complying with the other provisions of CA Government Code Section 65302 and Complete Streets Act of 2008.

The approach above focuses on the adoption of local complete streets resolutions, while acknowledging the jurisdictions that took efforts to update their circulation element in anticipation of future OBAG requirements.

- Jurisdictions (cities and counties) must have a general plan housing element adopted and certified by the California Department of Housing and Community Development (HCD) for 2014-2022 RHNA by May 31, 2015. Jurisdictions that have failed to meet this deadline must have their housing elements certified by HCD by June 30, 2016 in order to be eligible to receive OBAG 2 funding.
- Furthermore, under state statute, jurisdictions are required to submit Housing Element Annual Reports by April 1 every year. All cities and counties receiving OBAG 2 funding must comply with this statute during the entire OBAG 2 funding period or risk deprogramming of OBAG 2 funding.
- General law cities and counties must adopt a surplus land resolution by the date the CMAs submit their OBAG 2 project recommendations to MTC. The resolution must verify that any disposition of surplus land undertaken by the jurisdiction complies with the State Surplus Land Act, as amended by AB 2135, 2014. MTC will issue guidance to assist cities and counties in drafting a resolution to meet this requirement. This guidance will be posted on the

OBAG 2 website: <http://mtc.ca.gov/our-work/fund-invest/federal-funding/obag-2>.

Charter cities do not have to adopt a surplus land resolution unless and until a final court decision is rendered that charter cities are subject to the provisions of the Act.

- For jurisdictions with local public streets and roads, to be eligible for OBAG 2 funding, the jurisdiction must:
  - Have a certified Pavement Management Program (StreetSaver® or equivalent) updated at least once every three years (with a one-year extension allowed);
  - Fully participate in the statewide local streets and road needs assessment survey; and
  - Provide updated information to the Highway Performance Monitoring System (HPMS) at least once every 3 years (with a one-year grace period allowed).
- For a transit agency project sponsor under a Joint Powers Authority (JPA) or district (not under the governance of a local jurisdiction), or an agency where housing and complete streets policies do not apply, the jurisdiction where the project is located (such as station/stop improvements) will need to comply with the policies and other requirements specified in this attachment before funds may be programmed to the project sponsor. However, this is not required if the project is transit/rail agency property such as, track, rolling stock or a transit maintenance facility.
- OBAG 2 funds may not be programmed to any jurisdiction out of compliance with the policies and other requirements specified in this attachment.
- The CMA will be responsible for tracking progress towards all OBAG 2 requirements and affirming to MTC that a jurisdiction is in compliance prior to MTC programming OBAG 2 funds to its projects in the TIP.

CMAs will provide the following prior to programming projects in the TIP (see Appendix A-10):

- Documentation of the approach used to select OBAG 2 projects including outreach efforts, agency coordination, Title VI compliance, the methodology used for distributing funds within the county, and the specific scoring methodology used for allocating funds to projects within PDAs or TPAs that rewards local jurisdictions with the most effective housing anti-displacement policies;
- The board adopted list of projects recommended for OBAG 2 funding;
- Self-certification that all projects recommended for funding are consistent with the current RTP (including documentation) and have

- completed project-specific Complete Streets Checklists (including documentation);
- Identification of the Single-Point of Contact assigned by the jurisdiction for all FHWA-funded projects, including OBAG 2 projects;
  - Documentation of local jurisdiction compliance with MTC's Complete Streets Policy, including a list of the status of each jurisdiction, a letter from the CMA for each jurisdiction describing how the jurisdiction meets the policy requirements, and supporting documentation for each local jurisdiction (resolutions and/or circulation elements)
  - Documentation of local jurisdiction compliance with MTC's Housing Element requirements, including a list of the status of each jurisdiction's Annual Housing Element Progress Report as well as any supporting documentation for each jurisdiction (progress reports and copies of submittal letter to HCD). This documentation will be required annually from CMAs (April 30 each year) throughout the OBAG 2 programming period;
  - Documentation of compliance with the State's Surplus Land Act requirements, for each applicable jurisdiction (copy of adopted resolution).
  - Documentation for any projects recommended for funding that apply toward the county's minimum PDA investment target. This includes mapping of all mappable projects (projects with a physical location). For projects that are not physically located within a PDA, the CMA is required to map each project along with the associated PDA(s) and provide a policy justification for designating each project as supporting a PDA through proximate access. CMAs must also document that this information was used when presenting its program of projects to their board and the public; and
  - Self-certification that the PDA Investment and Growth Strategy has been completed and adopted by the CMA Board, or will be adopted in coordination with the RTP update. The interim progress report requirement for 2019 will be satisfied through a collaborative effort between the CMAs and MTC. Documentation of subsequent required updates and interim progress reports must also be submitted by the CMAs throughout the OBAG 2 period.

## COUNTY PROGRAMS

The categories below comprise the eligible OBAG 2 County Programs, administered by the nine county CMAs. The CMAs should ensure that the project selection process and selected projects meet all eligibility requirements throughout this document as well as in federal statutes and

regulations. MTC staff will work with CMAs and project sponsors to resolve any eligibility issues which may arise, including air quality conformity exceptions and requirements.

## **County CMA Program**

The base OBAG 2 County program accounts for 40% of the total funding available through OBAG 2 and is distributed to each county according to the OBAG 2 county formula after accounting for the CMA Planning minimum guarantee (see Appendices A-2 and A-3). This program includes CMA planning and outreach as well as the various projects selected through each county's competitive call for projects. Projects selected through the base county program are subject to the PDA investment minimum requirements.

### **1. CMA Planning and Outreach**

This category provides funding to the county Congestion Management Agency (CMA) or substitute agency to support programming, monitoring and outreach activities. Such efforts include, but are not limited to: county-based planning efforts for development of the RTP/Sustainable Communities Strategy (SCS); development of PDA growth strategies; development and implementation of a complete streets compliance protocol; establishing land use and travel forecasting process and procedures consistent with ABAG/MTC; ensuring the efficient and effective delivery of federal-aid local projects; and undertaking the programming of assigned funding and solicitation of projects.

The minimum funding level for the CMA planning and outreach program continues OBAG 1 commitments by escalating FY 2016-17 amounts at 2% per year. In addition, counties are guaranteed that the base funding level for the CMA's planning and outreach program will not exceed 50% of the county's total OBAG 2 County Program distribution. Actual CMA planning and outreach amounts for each county, are shown in Appendix A-3.

At their discretion, the CMAs may choose to designate additional funding from their County Program to augment their planning and outreach efforts.

All funding and activities will be administered through an interagency agreement between MTC and the respective CMA.

### **2. Local Streets and Roads Preservation**

This category is for the preservation of local streets and roads on the federal-aid system. To be eligible for funding of any Local Streets and Roads (LSR) preservation project, the jurisdiction must have a certified Pavement Management Program (StreetSaver® or equivalent). In addition, selected pavement projects should be based on the needs analysis resulting from the established Pavement Management Program (PMP) for the jurisdiction. This requirement ensures that streets selected for investment are cost effective. MTC is responsible for verifying the certification status of jurisdictions. The current certification status of area jurisdictions can be found at <http://www.mtc.ca.gov/services/pmp/>.

Furthermore, to support the collection and analysis of local roads asset conditions for comprehensive regional planning efforts and statewide funding advocacy, a jurisdiction must

fully participate in the statewide local streets and road needs assessment survey to be eligible for OBAG 2 funding for pavement rehabilitation.

Eligibility requirements for specific project types are included below:

▶ Pavement Rehabilitation:

All pavement rehabilitation projects, including projects with pavement segments with a Pavement Condition Index (PCI) below 70, must be consistent with segments recommended for treatment within the programming cycle by the jurisdiction's PMP.

▶ Preventive Maintenance:

Only projects where pavement segments have a PCI of 70 or above are eligible for preventive maintenance. Furthermore, the local agency's PMP must demonstrate that the preventive maintenance strategy is a cost effective method of extending the service life of the pavement.

▶ Non-Pavement:

Eligible non-pavement activities and projects include rehabilitation or replacement of existing features on the roadway facility, such as bridge structures, storm drains, National Pollutant Discharge Elimination System (NPDES), curbs, gutters, culverts, medians, guardrails, safety features, signals, signage, sidewalks, ramps, complete streets elements and features that bring the facility to current standards. Jurisdictions must have a certified PMP to be eligible to receive funding for improvements to non-pavement features.

Activities that are not eligible for funding include: Air quality non-exempt projects (unless granted an exception by MTC staff), new roadways, roadway extensions, right of way acquisition for future expansion, operations, routine maintenance, spot application, enhancements that are above and beyond repair or replacement of existing assets (other than bringing roadway to current standards or implementing complete streets elements) and any pavement application not recommended by the PMP unless otherwise allowed above.

Federal-Aid Eligible Facilities: Federal-aid highways as defined in 23 U.S.C. 101(a)(6) are eligible for local streets and roads preservation funding. A federal-aid highway is a public road that is not classified as a rural minor collector or local road (residential) or lower. Project sponsors must confirm the eligibility of their roadway through the Highway Performance Monitoring System (HPMS) prior to the application for funding.

### ***3. Bicycle and Pedestrian Improvements***

This category funds a wide range of bicycle and pedestrian improvements including Class I, II and III bicycle facilities; cycle tracks; bicycle education, outreach, sharing and parking; sidewalks, ramps, pathways and pedestrian bridges; user safety and supporting facilities; and traffic signal actuation. Bicycle and pedestrian projects may be located on or off the federal-aid highway system.

Additional eligibility requirements will apply to bicycle and pedestrian projects that are funded with CMAQ funds rather than STP funds, given the more limited scope of the CMAQ funding program. According to CMAQ eligibility requirements, bicycle and pedestrian facilities must not be exclusively recreational and should reduce vehicle trips resulting in air pollution reductions. Also, the hours of operation need to be reasonable and support bicycle/pedestrian needs, particularly during commute periods. For example, the policy that a trail be closed to users before sunrise or after sunset may limit users from using the facility during the portions of peak commute hours, particularly during times of the year with shorter days.

#### **4. Transportation for Livable Communities**

The purpose of Transportation for Livable Communities (TLC) projects is to support community-based transportation projects that bring new vibrancy to downtown areas, commercial cores, high-density neighborhoods, and transit corridors; enhancing their amenities and ambiance and making them places where people want to live, work and visit. The TLC program supports the RTP/SCS by investing in improvements and facilities that promote alternative transportation modes rather than the single-occupant automobile.

General project categories include the following:

- Transit station improvements such as plazas, station access, pocket parks, and bicycle parking.
- Transit expansions serving PDAs.
- Complete Streets improvements that improve bicycle and pedestrian access and encourage use of alternative modes.
- Cost-effective, technology-driven active operational management strategies for local arterials and for highways when used to augment other fund sources or match challenge grants.
- Transportation Demand Management (TDM) projects including car sharing, vanpooling traveler coordination and information, and Clipper®-related projects.
- Transit access projects connecting high density housing/jobs/mixed land use to transit, such as bicycle/pedestrian paths and bridges and safe routes to transit.
- Streetscape projects focusing on high-impact, multi-modal improvements or associated with high density housing/mixed use and transit, such as bulb outs, sidewalk widening, crosswalk enhancements, audible signal modification, mid-block crossing and signals, new striping for bicycle lanes and road diets, pedestrian street lighting, medians, pedestrian refuges, wayfinding signage, tree grates, bollards, permanent bicycle racks, signal modification for bicycle detection, street trees, raised planters, planters, costs associated with on-site storm water management, permeable paving, and pedestrian-scaled street furniture including bus shelters, benches, magazine racks, garbage and recycling bins.
- Mobility management and coordination projects that meet the specific needs of seniors and individuals with disabilities and enhance transportation access for populations beyond those served by one agency or organization within a community. Examples include the integration and coordination of services for individuals with



- disabilities, seniors, and low-income individuals; individualized travel training and trip planning activities for customers; the development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and the operation of transportation brokerages to coordinate providers, funding agencies and passengers. Selected project sponsors may need to transfer the STP/CMAQ funds received to FTA.
- PDA planning and implementation, including projects that incentivize local PDA transit oriented development housing (within funding eligibility limitations unless exchanged).
  - Density incentives projects and non-transportation infrastructure improvements that include density bonuses, sewer upgrade, land banking or site assembly (these projects require funding exchanges to address federal funding eligibility limitations).

Activities that are not eligible for funding include: air quality non-exempt projects (unless granted an exception by MTC staff), new roadways, roadway extensions, right of way acquisition for future expansion, operations, and routine maintenance.

### **Additional County Programs**

In addition to the base County CMA Program, OBAG 2 directs additional funds to the CMAs to distribute to eligible project types. These programs are the Safe Routes to School (SRTS) program, the Federal Aid Secondary Shares Continuation (FAS) program, and for the North Bay Counties, the Priority Conservation Area (PCA) program.

#### **1. Safe Routes to School**

Eligible projects for the Safe Routes to School (SRTS) program include infrastructure and non-infrastructure projects that facilitate reduction in vehicular travel to and from schools. It is important to note that this program is funded exclusively by the CMAQ funding program. Given the intent of the CMAQ program to reduce vehicular emissions, the OBAG 2 SRTS program is targeted towards air quality improvement rather than the health or safety of school-aged children. Despite this limitation, project eligibility under CMAQ largely overlaps with typical eligibility requirements for Safe Routes to School programs. Detailed examples of eligible projects are provided below:

#### Eligible Non-Infrastructure Projects

##### Public Education and Outreach Activities

- Public education and outreach can help communities reduce emissions and congestion by inducing drivers to change their transportation choices
- Activities that promote new or existing transportation services, developing messages and advertising materials (including market research, focus groups, and creative), placing messages and materials, evaluating message and material dissemination and public awareness, technical assistance, programs that promote the Tax Code provision related

to commute benefits, and any other activities that help forward less-polluting transportation options

- Air quality public education messages: Long-term public education and outreach can be effective in raising awareness that can lead to changes in travel behavior and ongoing emissions reductions; therefore, these activities may be funded indefinitely
- Non-construction outreach related to safe bicycle use
- Travel Demand Management (TDM) activities including traveler information services, shuttle services, carpools, vanpools, parking pricing, etc.

#### Eligible Infrastructure Projects

- Constructing bicycle and pedestrian facilities (paths, sidewalks, bike racks, support facilities, etc.), that are not exclusively recreational and reduce vehicle trips
- Programs for secure bicycle storage facilities and other facilities, including bicycle lanes, for the convenience and protection of bicyclists, in both public and private areas
- New construction and major reconstructions of paths, tracks, or areas solely for the use by pedestrian or other non-motorized means of transportation when economically feasible and in the public interest
- Traffic calming measures

#### Exclusions found to be ineligible uses of CMAQ funds

- Walking audits and other planning activities (Upon the CMA's request and availability of funds, STP funds will be provided for these purposes)
- Crossing guards, vehicle speed feedback devices, and traffic control that is primarily oriented to vehicular traffic rather than bicyclists and pedestrians
- Material incentives that lack an educational message or exceed a nominal cost

Within the SRTS program, funding is distributed among the nine Bay Area counties based on K-12 total enrollment for private and public schools as reported by the California Department of Education for FY 2013-14 (see Appendix A-5). SRTS funding distributed to CMAs based on enrollment is not subject to the PDA minimum investment requirements. However, if a CMA chooses to augment the SRTS program with additional funding from their base OBAG 2 County CMA program, this additional funding is subject to the PDA minimum investment requirements.

Before programming projects into the TIP, the CMAs shall provide the SRTS projects, recommended county program scope, budget, schedule, agency roles, and federal funding recipient(s).

In programming the funds in the TIP, project sponsors may consider using non-federal funds to fund SRTS activities ineligible for federal funding. In such instances, the sponsor is allowed to use toll credits for the federal project, conditioned upon a minimum of 11.47% in non-federal funds being dedicated for SRTS activities. Separate accounting of a federalized project and a non-federalized project to fund a single program can be challenging, so care should be taken when using this option.

CMAs with an established SRTS program may choose to program local funds for SRTS projects in lieu of OBAG 2 funds and use the OBAG 2 funding for other eligible OBAG 2 projects. In such

instances the local SRTS project(s) must be identified at the time the CMA submits the county OBAG 2 program to MTC and subsequently programmed in the federal TIP.

## **2. Federal Aid Secondary (FAS) Shares**

The Federal Aid Secondary (FAS) program, which directed funding to rural roads, was eliminated in 1991 with the passage of the Intermodal Surface Transportation Efficiency Act (ISTEA). However, California statutes provide for the continuation of minimum funding levels to counties, guaranteeing their prior FAS shares for rural county roads.

The county CMAs are required to ensure the counties receive their guaranteed annual funding through the CMA-managed OBAG county program. The county of San Francisco has no rural roads, and therefore does not receive FAS funding. In addition, the counties of Marin, Napa, and San Mateo may exchange their annual guaranteed FAS funding with state funding from Caltrans, as permitted by state statute. Caltrans takes these federal funds "off the top" before distributing regional STP funds to MTC. The CMAs for these three counties are not required to provide FAS guaranteed funding to these three counties for years in which these counties request such an exchange, as the statutory requirement is met through this exchange with Caltrans.

Counties may access their FAS funding at any time within the OBAG 2 period for any project eligible for STP funding. Guaranteed minimum FAS funding amounts are determined by California's Federal-Aid Secondary Highways Act (California Code § 2200-2214) and are listed in Appendix A-4. This FAS funding is not subject to the minimum PDA investment requirement. Any additional funding provided by the CMAs to the counties from the OBAG 2 county base formula distribution is subject to the minimum PDA investment requirements.

## **3. Priority Conservation Area (PCA)**

The Priority Conservation Area (PCA) Program provides funding for the development of plans and projects to assist in the preservation and enhancement of rural lands and open space. Generally, eligible projects include PCA planning activities, bicycle and pedestrian access to open space and parklands, visual enhancements and habitat/environmental enhancements. Specifically, projects must support Plan Bay Area by preserving and enhancing the natural, economic and social value of rural lands amidst a growing population across the Bay Area, for residents and businesses.

Land acquisition for preservation purposes is not federally eligible, but may be facilitated through CMA-initiated funding exchanges.

The PCA funding program includes one approach for the North Bay program (Marin, Napa, Solano, and Sonoma) and a second for the remaining five counties. In the North Bay, each CMA will receive dedicated funding, lead a county-wide program building on PCA planning conducted to date, and select projects for funding. For the remaining counties, MTC will partner with the Coastal Conservancy, a California State agency, to program the PCA funds. Appendix A-9 outlines the framework for this program including goals, project screening eligibility, eligible sponsors, and project selection.

Any CMA may use additional funding from its base OBAG 2 County Program to expand its dedicated PCA program (North Bay counties), augment grants received from the regionally competitive PCA program (remaining counties), or develop its own county PCA program (all counties).

The North Bay program framework is to be developed by the four North Bay CMAs, building upon their PCA planning and priorities carried out to date. Project eligibility is limited by the eligibility of federal surface transportation funding; unless the CMA can exchange these funds or leverage new fund sources for their programs.

As a part of the update to *Plan Bay Area*, MTC is exploring implementing a Regional Advance Mitigation Planning (RAMP) Program. RAMP would mitigate certain environmental impacts from multiple planned transportation projects, rather than mitigating on a less-efficient per-project level. Partnering arrangements can be established to leverage multiple fund sources in order to maximize benefits of the RAMP and PCA programs. As such, PCA funds may be used to deliver net environmental benefits to a RAMP program project.

In instances where federal funds may not be used for this purpose, sponsors may exchange OBAG 2 funds with eligible non-federal funds. Such exchanges must be consistent with MTC's fund exchange policy (MTC Resolution No. 3331).

## Appendix A-1

### OBAG 2 Program Categories FY 2017-18 through FY 2019-22 July 27, 2016

#### Program Categories

Regional Program		OBAG 1		OBAG 2	
Regional Categories		Regional Distribution		% Share	Amount
		<b>\$499.3</b>		<b>476.5</b>	
1	Regional Planning Activities	2%	\$8.5	2%	9.6
2	Pavement Management Program	2%	\$9.1	2%	9.3
3	Regional PDA Planning & Implementation	4%	\$20.0	5%	20.0
4	Climate Initiatives	4%	\$22.3	5%	23.0
5	Priority Conservation Area	2%	\$9.5	4%	16.4
6	Regional Active Operational Management	37%	\$183.5	39%	179.0
7	Transit Capital Priorities	40%	\$201.4	43%	189.3
		<b>\$454.3</b>		<b>Regional Program Total: 52% 446.5</b>	

Local Categories		OBAG 1		OBAG 2	
		<b>\$45.0</b>		<b>30.0</b>	
8	Local PDA Planning (within county program for OBAG 2)	4%	\$20.0		
	Safe Routes To School (Moved to county program for OBAG 2)	5%	\$25.0		
	Federal-Aid Secondary - FAS (within county program for OBAG 2)	-	-		
	Local Housing Production Incentive	-	-		
		<b>9%</b>		<b>Local Program Total: 3% 30.0</b>	

County Program			OBAG 1			OBAG 2						
Population			Base Formula STP/CMAQ/TE *	Final Distribution Including SRTS & PDA		Base Formula **	SRTS ***	FAS ***	Final Adjusted Distribution Including SRTS & FAS ****			
<b>Counties</b>												
1	Alameda	21.2%	19.6%	\$64.1	19.7%	\$73.4	20.0%	\$69.7	\$5.3	\$1.8	19.9%	\$76.7
2	Contra Costa	14.6%	14.1%	\$46.0	14.2%	\$52.9	14.6%	\$50.8	\$4.1	\$1.3	14.6%	\$56.1
3	Marin	3.4%	3.3%	\$10.7	3.3%	\$12.3	2.6%	\$9.2	\$0.9	\$0.8	2.8%	\$10.9
4	Napa	1.9%	2.3%	\$7.4	2.3%	\$8.7	1.6%	\$5.5	\$0.5	\$1.2	2.2%	\$8.2
5	San Francisco	11.3%	12.0%	\$39.3	11.7%	\$43.5	13.4%	\$46.5	\$1.8	\$0.0	12.4%	\$48.2
6	San Mateo	10.0%	8.3%	\$27.2	8.4%	\$31.2	8.4%	\$29.3	\$2.4	\$0.9	8.4%	\$32.5
7	Santa Clara	25.2%	27.3%	\$89.3	27.2%	\$101.4	27.5%	\$95.8	\$6.9	\$1.7	26.9%	\$104.1
8	Solano	5.7%	6.0%	\$19.5	5.9%	\$22.1	5.2%	\$18.3	\$1.5	\$1.5	5.5%	\$21.2
9	Sonoma	6.6%	7.3%	\$23.8	7.2%	\$26.9	6.6%	\$22.9	\$1.7	\$3.3	7.2%	\$27.7
<b>Total:</b>				<b>\$327.4</b>		<b>\$372.4</b>		<b>\$348.0</b>	<b>\$25.0</b>	<b>\$12.5</b>	<b>45%</b>	<b>\$385.5</b>

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<b>OBAG Total:</b>	<b>OBAG 1:</b>	<b>\$827</b>	<b>OBAG 2:</b>	<b>\$862</b>
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- \* **OBAG 1:** In OBAG 1, the county CMA's received \$327 M with \$18 M in RTIP-TE and \$309 M in STP/CMAQ. RTIP-TE funding is no longer part of OBAG 2
- \*\* **Base:** Unadjusted raw county base formula amount
- \*\*\* **SRTS:** SRTS moved to County Program and distributed based on FY 2013-14 K-12 school enrollment
- \*\*\* **FAS:** Federal-Aid Secondary (FAS) distributed based by statutory requirements. San Francisco has no rural roads and therefore is not subject to State Statute requirements
- \*\*\*\* **OBAG2:** Final county distribution rounded to nearest \$1,000 and includes SRTS & FAS and adjusted so a county CMA's base planning is no more than 50% of total

## Appendix A-2

### OBAG 2 County Fund Distribution FY 2017-18 through FY 2021-22 July 27, 2016

#### OBAG 2 - County Funding Formula Distribution

County	Total County Distribution *	OBAG 2 Adjusted Base **	PDA Percentage	PDA/Anywhere Split	PDA	Anywhere
Alameda	\$76,655,000	\$69,728,000	70%	70/30	\$48,810,000	\$27,845,000
Contra Costa	\$56,136,000	\$50,846,000	70%	70/30	\$35,592,000	\$20,544,000
Marin	\$10,870,000	\$9,194,000	50%	50/50	\$4,597,000	\$6,273,000
Napa	\$8,150,000	\$5,501,000	50%	50/50	\$2,751,000	\$5,399,000
San Francisco	\$48,183,000	\$46,514,000	70%	70/30	\$32,560,000	\$15,623,000
San Mateo	\$32,545,000	\$29,339,000	70%	70/30	\$20,537,000	\$12,008,000
Santa Clara	\$104,073,000	\$95,758,000	70%	70/30	\$67,031,000	\$37,042,000
Solano	\$21,177,000	\$18,253,000	50%	50/50	\$9,127,000	\$12,050,000
Sonoma	\$27,723,000	\$22,867,000	50%	50/50	\$11,434,000	\$16,289,000
<b>Total:</b>	<b>\$385,512,000</b>	<b>\$348,000,000</b>			<b>\$232,439,000</b>	<b>\$153,073,000</b>

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\* Total county distribution including SRTS, FAS and planning adjustment

\*\* OBAG 2 adjusted base county amount subject to PDA investment - does not include SRTS, FAS or PCA. Rounded to thousands and adjusted to ensure a county's base planning activity is no more than 50% of the total distribution

**Appendix A-3**

**OBAG 2  
Planning & Outreach  
FY 2017-18 through FY 2021-22  
December 20, 2017**

**OBAG 2 - County CMA Planning**

County	Agency	2.0%	OBAG 2 County CMA Planning - Base *					SubTotal	Supplemental	Total
		2016-17	2017-18	2018-19	2019-20	2020-21	2021-22			
Alameda	ACTC	\$1,034,000	\$1,055,000	\$1,076,000	\$1,097,000	\$1,119,000	\$1,142,000	\$5,489,000	\$2,800,000	\$8,289,000
Contra Costa	CCTA	\$818,000	\$834,000	\$851,000	\$868,000	\$885,000	\$904,000	\$4,342,000	\$0	\$4,342,000
Marin	TAM	\$720,000	\$734,000	\$749,000	\$764,000	\$779,000	\$796,000	\$3,822,000	\$0	\$3,822,000
Napa	NCTPA NVTA	\$720,000	\$734,000	\$749,000	\$764,000	\$779,000	\$796,000	\$3,822,000	\$0	\$3,822,000
San Francisco	SFCTA	\$753,000	\$768,000	\$783,000	\$799,000	\$815,000	\$832,000	\$3,997,000	\$1,900,000	\$5,897,000
San Mateo	SMCCAG	\$720,000	\$734,000	\$749,000	\$764,000	\$779,000	\$796,000	\$3,822,000	\$1,512,000	\$5,334,000
Santa Clara	VTA	\$1,145,000	\$1,168,000	\$1,191,000	\$1,215,000	\$1,239,000	\$1,265,000	\$6,078,000	\$4,822,000	\$10,900,000
Solano	STA	\$720,000	\$734,000	\$749,000	\$764,000	\$779,000	\$796,000	\$3,822,000	\$3,039,000	\$6,861,000
Sonoma	SCTA	\$720,000	\$734,000	\$749,000	\$764,000	\$779,000	\$796,000	\$3,822,000	\$1,178,000	\$5,000,000
<b>County CMAs Total:</b>		<b>\$7,350,000</b>	<b>\$7,495,000</b>	<b>\$7,646,000</b>	<b>\$7,799,000</b>	<b>\$7,953,000</b>	<b>\$8,123,000</b>	<b>\$39,016,000</b>	<b>\$15,251,000</b>	<b>\$54,267,000</b>

**OBAG 2 - Regional Planning**

	2.0%	OBAG 2 Regional Agency Planning - Base *					SubTotal	Augmentation	Total
	2016-17	2017-18	2018-19	2019-20	2020-21	2021-22			
<b>Regional Planning Total:</b>	<b>\$1,800,000</b>	<b>\$1,835,000</b>	<b>\$1,873,000</b>	<b>\$1,910,000</b>	<b>\$1,948,000</b>	<b>\$1,989,000</b>	<b>\$9,555,000</b>	<b>\$0</b>	<b>\$9,555,000</b>

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\* 2% escalation from FY 2016-17 Planning Base

**\$63,822,000**

## Appendix A-4

### OBAG 2 Federal-Aid Secondary FY 2017-18 through FY 2021-22 November 18, 2015

#### OBAG 2 - Federal-Aid Secondary (FAS)

County	FAS			Total OBAG 2 Rounded
	Regional Percentage	Annual FAS Funding *	5-Year FAS Funding	
Alameda	14.2%	\$355,761	\$1,778,805	<b>\$1,779,000</b>
Contra Costa	10.7%	\$268,441	\$1,342,205	<b>\$1,343,000</b>
Marin	6.7%	\$167,509	\$837,545	<b>\$838,000</b>
Napa	9.5%	\$237,648	\$1,188,240	<b>\$1,189,000</b>
San Francisco **	0.0%	\$0	\$0	<b>\$0</b>
San Mateo	7.1%	\$178,268	\$891,340	<b>\$892,000</b>
Santa Clara	13.6%	\$340,149	\$1,700,745	<b>\$1,701,000</b>
Solano	12.0%	\$301,159	\$1,505,795	<b>\$1,506,000</b>
Sonoma	26.1%	\$652,790	\$3,263,950	<b>\$3,264,000</b>
<b>Total:</b>	<b>100.0%</b>	<b>\$2,501,725</b>	<b>\$12,508,625</b>	<b>\$12,512,000</b>

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\* As provided by Caltrans per State Statute

\*\* San Francisco has no rural roads



## Appendix A-5

### OBAG 2 Safe Routes to School County FY 2017-18 through FY 2021-22 November 18, 2015

#### OBAG 2 - Safe Routes To School County Distribution

County	Public School Enrollment (K-12) *	Private School Enrollment (K-12) *	Total School Enrollment (K-12) *	FY 2013-14 Percentage	Total OBAG 2 Rounded
Alameda	222,681	24,036	246,717	21.4%	\$5,340,000
Contra Costa	173,020	15,825	188,845	16.4%	\$4,088,000
Marin	32,793	7,104	39,897	3.5%	\$864,000
Napa	20,868	2,913	23,781	2.1%	\$515,000
San Francisco	58,394	24,657	83,051	7.2%	\$1,797,000
San Mateo	94,667	15,927	110,594	9.6%	\$2,394,000
Santa Clara	276,175	41,577	317,752	27.5%	\$6,878,000
Solano	63,825	4,051	67,876	5.9%	\$1,469,000
Sonoma	70,932	5,504	76,436	6.6%	\$1,655,000
<b>Total:</b>	<b>1,013,355</b>	<b>141,594</b>	<b>1,154,949</b>	<b>100%</b>	<b>\$25,000,000</b>

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\* From California Department of Education for FY 2013-14

## Appendix A-6

### OBAG 2 Priority Conservation Area FY 2017-18 through FY 2021-22 November 18, 2015

#### OBAG 2 - Priority Conservation Area (PCA)

PCA Program	Total OBAG 2
<b>Northbay Program</b>	
Marin	\$2,050,000
Napa	\$2,050,000
Solano	\$2,050,000
Sonoma	\$2,050,000
Subtotal:	\$8,200,000
<b>Remaining Counties Competitive Program</b>	
Subtotal:	\$8,200,000
<b>Total</b>	
Total:	\$16,400,000

## **Appendix A-7: OBAG 2 – CMA One Bay Area Grant County Program Outreach**

The Metropolitan Transportation Commission (MTC) delegates authority for the county program project selection to the nine Bay Area Congestion Management Agencies (CMAs). The existing relationships the CMAs have with local jurisdictions, elected officials, transit agencies, community organizations and stakeholders, and members of the public within their respective counties make them best suited for this role. As one of the requirements for distributing federal transportation funding, MTC expects the CMAs to plan and execute an effective public outreach and local engagement process during development of the PDA Investment and Growth Strategy and the solicitation and project selection for the OBAG 2 program. CMAs also serve as the main point of contact for local sponsoring agencies and members of the public submitting projects for consideration for inclusion in the Transportation Improvement Program (TIP).

To comply with federal regulations, the CMAs must conduct a transparent process for the Call for Projects, and include the following activities:

### **1. Public Involvement and Outreach**

#### ***Conduct countywide outreach to stakeholders and the public to solicit project ideas.***

CMAs are expected to implement their public outreach efforts in a manner consistent with MTC's Public Participation Plan (MTC Resolution No. 4174), which can be found at <http://mtc.ca.gov/about-mtc/public-participation/public-participation-plan> . CMAs are expected at a minimum to:

- Execute effective and meaningful local engagement efforts during the call for projects by working closely with local jurisdictions, elected officials, transit agencies, community-based organizations, and the public through the project solicitation process;
- Explain the local call for projects process, informing stakeholders and the public about the opportunities for public comments on project ideas and when decisions are to be made on the list of projects to be submitted to MTC;
- Hold public meetings and/or workshops at times that are conducive to public participation to solicit public input on project ideas to submit;
- Post notices of public meetings and hearing(s) on their agency website; include information on how to request language translation for individuals with limited English proficiency. If agency protocol has not been established, please refer to MTC's Plan for Assisting Limited English Proficient Populations at <http://mtc.ca.gov/about-mtc/public-participation/get-language-assistance>;
- Offer language translations and accommodations for people with disabilities, if requested at least three days in advance of the meeting; and
- Hold public meetings in central locations that are accessible for people with disabilities and by public transit.

**Document the outreach effort undertaken for the local call for projects.** CMAs are to provide MTC with a:

- Description of how the public was involved in the process for nominating and/or commenting on projects selected for OBAG 2 funding.

## 2. Agency Coordination

- **Work closely with local jurisdictions, transit agencies, MTC, Caltrans, federally recognized tribal governments, and stakeholders to identify projects for consideration in the OBAG 2 Program.** CMAs will assist with agency coordination by:

- Communicating this call for projects guidance to local jurisdictions, transit agencies, federally recognized tribal governments, and other stakeholders.
- Documenting the steps taken to engage the above-listed organizations.

## 3. Title VI Responsibilities

- **Ensure the public involvement process provides underserved communities access to the project submittal process in compliance with Title VI of the Civil Rights Act of 1964.**

- Assist community-based organizations, communities of concern, and any other underserved community interested in having projects submitted for funding.
- Remove barriers for persons with limited-English proficiency to have access to the project submittal process.
- Document the steps taken to engage underserved communities.
- For Title VI outreach strategies, please refer to MTC's Public Participation Plan found at: <http://mtc.ca.gov/about-mtc/public-participation/public-participation-plan>.
- Additional resources are available at:
  - i. <http://www.fhwa.dot.gov/civilrights/programs/tvi.htm>
  - ii. [http://www.dot.ca.gov/hq/LocalPrograms/DBE\\_CRLC.html#TitleVI](http://www.dot.ca.gov/hq/LocalPrograms/DBE_CRLC.html#TitleVI)
  - iii. [http://www.mtc.ca.gov/get\\_involved/rights/index.htm](http://www.mtc.ca.gov/get_involved/rights/index.htm)

## **Appendix A-8: PDA Investment & Growth Strategy**

The purpose of a PDA Investment & Growth Strategy is to ensure that CMAs have a transportation project priority-setting process for OBAG 2 funding that supports and encourages development in the region's PDAs, recognizing that the diversity of PDAs will require a range of different strategies. Some of the planning activities noted below may be appropriate for CMAs to consider for jurisdictions or areas not currently designated as PDAs if those areas are still considering future housing and job growth. Regional agencies will provide support, as needed, for the PDA Investment & Growth Strategies. From time to time, MTC shall consult with the CMAs to evaluate progress on the PDA Investment and Growth Strategy. This consultation may result in specific work elements shifting among MTC, ABAG and the CMAs. Significant modifications to the scope of activities may be formalized through future revisions to this resolution. The following are activities CMAs need to undertake in order to develop a project priority-setting process:

### **(1) Engaging Regional/Local Agencies**

- Develop or continue a process to regularly engage local planners and public works staff. Understand the needs of both groups and share information with MTC and ABAG.
- Encourage community participation throughout the development of the Investment and Growth Strategy, consistent with the OBAG 2 Call for Projects Guidance (Appendix A-7).
- The CMA governing boards must adopt the final Investment & Growth Strategy.
- Participate as a TAC member in local jurisdiction planning processes funded through the regional PDA Planning Program or as requested by jurisdictions. Partner with MTC and ABAG staff to ensure that regional policies are addressed in PDA plans. Look for opportunities to support planning processes with technical or financial assistance.

### **(2) Planning Objectives – to Inform Project Priorities**

- Keep apprised of ongoing transportation and land-use planning efforts throughout the county
- Encourage local agencies to quantify transportation infrastructure needs and costs as part of their planning processes
- Encourage and support local jurisdictions in meeting their housing objectives established through their adopted Housing Elements and RHNA.

The second round of PDA Investment & Growth Strategies will assess local jurisdiction success approving sufficient housing at all income levels. They will also, where appropriate, assist local jurisdictions in implementing local policy changes to facilitate achieving these goals<sup>1</sup>. The locally crafted policies should be targeted to the specific circumstances of each PDA. For example, if the PDA currently has few moderate- or low-income households, any recommend policy changes should be aimed at promoting affordable housing. If the PDA currently is mostly low-income housing, any needed policy changes should be aimed at community stabilization.

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<sup>1</sup> Such as inclusionary housing requirements, city-sponsored land-banking for affordable housing production, “just cause eviction” policies, policies or investments that preserve existing deed-restricted or “naturally” affordable housing, condo conversion ordinances that support stability and preserve affordable housing, etc.

MTC and ABAG staff will distribute a technical memo to guide this task by October 1, 2016, including data to identify jurisdictions' challenges (e.g. RHNA performance and current affordability) and a listing of the Bay Area's best housing policies that are intended to address a range of housing challenges. This section should identify planning costs needed to address policy changes and other barriers to creating or maintaining affordability.

### **(3) Establishing Local Funding Priorities**

Develop funding guidelines for evaluating OBAG projects that support multi-modal transportation priorities based on connections to housing, services, jobs and commercial activity. Emphasis should be placed on the following factors when developing project evaluation criteria:

- **Projects located in high impact project areas.** Favorably consider projects in high impact areas, defined as:
  - a. PDAs taking on significant housing growth in the SCS (total number of units), including RHNA allocations, as well as housing production, especially those PDAs that are delivering large numbers of very low, low and moderate income housing units,
  - b. Dense job centers in proximity to transit and housing (both current levels and those included in the SCS) especially those which are supported by reduced parking requirements and TDM programs,
  - c. Improved transportation choices for all income levels (reduces VMT), proximity to quality transit access, with an emphasis on connectivity (including safety, lighting, etc.)
- **Projects located in Communities of Concern (COC)** – favorably consider projects located in a COC as defined by MTC or as defined by CMAs or Community Based Transportation Plans.
- **PDAs with affordable housing preservation, creation strategies** and community stabilization policies – favorably consider projects in jurisdictions with affordable housing preservation, creation strategies and community stabilization policies.
- **Projects that protect public health during construction and operation** – Favorably consider projects that implement the Best Practices in the Air District's Planning Healthy Places, or projects located in jurisdictions that have demonstrated a commitment to adopt, as policies and/or enforceable ordinances, best practices to reduce emissions of and exposure to local air pollution.<sup>2</sup>
- **PDAs that overlap or are co-located with: 1) populations exposed to outdoor toxic air contaminants as identified in the Air District's Community Air Risk Evaluation (CARE) Program and/or 2) freight transport infrastructure** – Favorably consider projects in these areas where local jurisdictions employ best management practices to mitigate PM and toxic air contaminants exposure.

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<sup>2</sup> Guidance and maps have been developed in partnership with BAAQMD, CMAs, ABAG, and city staff, please see: <http://www.baaqmd.gov/plans-and-climate/planning-healthy-places>.

**Process/Timeline**

CMAAs will develop a new PDA Investment & Growth Strategy every four years, consistent with the update of the Regional Transportation Plan/Sustainable Communities Strategy. The Investment & Growth Strategy must be adopted by the CMA Board (new for OBAG 2). The interim status report required for 2019 will be satisfied through a collaborative effort between the CMAAs and MTC.

**APPENDIX A-9: Priority Conservation Area (PCA) Program**

**Program Goals and Eligible Projects**

The goal of the Priority Conservation Area (PCA) Program is to support Plan Bay Area by preserving and enhancing the natural, economic and social value of rural lands and open space in the Bay Area, for residents and businesses. These values include globally unique ecosystems, productive agricultural lands, recreational opportunities, urban greening, healthy fisheries, and climate protection (mitigation and adaptation), among others.

The PCA Program should also be linked to SB 375 goals which direct MPOs to prepare sustainable community strategies which consider resource areas and farmland in the region as defined in Section 65080.01. One purpose of the PCA program is to reinforce efforts to target growth in existing neighborhoods (PDAs), rather than allowing growth to occur in an unplanned “project-by-project” approach.

The PCA program is split into two elements:

1. North Bay Program (\$8 million)
2. Peninsula, Southern and Eastern Counties Program (\$8 million)

The North Bay program framework is to be developed by the four North Bay county Congestion Management Agencies (CMAs), building on their PCA planning and priorities carried out to date. Project eligibility is limited by the eligibility of federal surface transportation funding; unless the CMA can exchange these funds or leverage new fund sources for their programs.

The Peninsula, Southern and Eastern Counties Program will be administered by the Coastal Conservancy\* in partnership with MTC based on the proposal provided below. The table below outlines screening criteria, eligible applicants, and the proposed project selection and programming process for the Peninsula, Southern and Eastern Counties.

<b>Funding Amount</b>	<ul style="list-style-type: none"> <li>• \$8 million</li> </ul>
<b>Screening Criteria</b>	<ul style="list-style-type: none"> <li>• <b>PCA Designation:</b> Eligible projects must be within a designated PCA. The list of adopted PCAs can be found at: <a href="http://abag.ca.gov/priority/conservation/">http://abag.ca.gov/priority/conservation/</a>.</li> <li>• <b>Regionally Significant:</b> Indicators of regional significance include a project’s contribution to goals stated in regional habitat, agricultural or open space plans (i.e. <i>San Francisco Bay Area Upland Habitat Goals Project Report</i> at <a href="http://www.bayarealands.org/reports/">http://www.bayarealands.org/reports/</a>), countywide Plans or ABAG’s PCA designations. Applicants should describe who will benefit from the project and the regional (greater-than-local) need it serves.</li> <li>• <b>Open Space Protection In Place:</b> Linkages to or location in a Greenbelt area that is policy protected from development. Land acquisition or easement projects would be permitted in an area without open space policy protections in place.</li> <li>• <b>Non-Federal Local Match:</b> 2:1 minimum match</li> </ul>



	<ul style="list-style-type: none"> <li>• <b>Meets Program Goals:</b> Projects that meet one of the following program goals (subject to funding eligibility—see below):             <ul style="list-style-type: none"> <li>○ Protects or enhances “resource areas” or habitats as defined in California Government Code § 65080.01(a).</li> <li>○ Provides or enhances bicycle and pedestrian access to open space / parkland resources. Notable examples are the Bay and Ridge Trail Systems.</li> <li>○ Supports the agricultural economy of the region.</li> <li>○ Includes existing and potential urban green spaces that increase habitat connectivity, improve community health, capture carbon emissions, and address stormwater.</li> </ul> </li> </ul>
<p><b>Eligible Applicants</b></p>	<ul style="list-style-type: none"> <li>• Local governments (cities, counties, towns), county congestion management agencies, tribes, water/utility districts, resource conservation districts, park and/or open space districts, land trusts and other land/resource protection nonprofit organizations in the nine-county San Francisco Bay Area are invited to nominate projects. Applicants are strongly encouraged to collaborate and partner with other entities on the nomination of projects, and partnerships that leverage additional funding will be given higher priority in the grant award process. <b>Partnerships are necessary with cities, counties, or CMAs in order to access federal funds. Federally-funded projects must have an implementing agency that is able to receive a federal-aid grant (master agreement with Caltrans).</b></li> </ul>
<p><b>Emphasis Areas / Eligible Projects</b></p>	<p><b>Eligible Projects</b></p> <ol style="list-style-type: none"> <li>1. <b>Planning Activities</b></li> <li>2. <b>Pedestrian and Bicycle Facilities/ Infrastructure:</b> On-road and off-road trail facilities, sidewalks, bicycle infrastructure, pedestrian and bicycle signals, traffic calming, lighting and other safety related infrastructure, and ADA compliance, conversion and use of abandoned rail corridors for pedestrians and bicyclists.</li> <li>3. <b>Visual Enhancements:</b> Construction of turnouts, overlooks and viewing areas.</li> <li>4. <b>Habitat / Environmental Enhancements:</b> Vegetation management practices in transportation rights-of-way, reduce vehicle-caused wildlife mortality or to restore and maintain connectivity among terrestrial or aquatic habitats, mitigation of transportation project environmental impacts funded through the federal-aid surface transportation program.</li> <li>5. <b>Protection (Land Acquisition or Easement) or Enhancement of Natural Resources, Open Space or Agricultural Lands:</b> Parks and</li> </ol>

	<p>open space, staging areas or environmental facilities; or natural resources, such as listed species, identified priority habitat, wildlife corridors, wildlife corridors watersheds, or agricultural soils of importance.</p> <p>6. <b>Urban Greening:</b> Existing and potential green spaces in cities that increase habitat connectivity, improve community health, capture carbon emissions, and address stormwater.</p> <p><b>Note:</b> MTC encourages PCA project applicants to partner with other agencies and programs to leverage other funds in order to maximize benefits. As such, PCA funded projects may become eligible to deliver net environmental benefits to a future Regional Advance Mitigation Planning (RAMP) program project, above any required mitigation requirements. Note that such projects may need to rely on funding exchanges with eligible non-federal funds because most land acquisition and habitat restoration projects that are not mitigation for transportation projects are not eligible for federal transportation funds. Any such funding exchange must be consistent with MTC’s fund exchange policy (MTC Resolution No. 3331).</p>
<p><b>Project Selection</b></p>	<p><b>Coastal Conservancy Partnership Program:</b> MTC will provide \$8 million of federal transportation funds which will be combined with the Coastal Conservancy’s own program funds in order to support a broader range of projects (i.e. land acquisition and easement projects) than can be accommodated with federal transportation dollars alone. The Coastal Conservancy, MTC, and ABAG staff will cooperatively manage the call for projects. This approach would harness the expertise of the Coastal Conservancy, expand the pool of eligible projects, and leverage additional resources through the Coastal Conservancy.</p>

\*The Coastal Conservancy is a state agency and the primary public land conservation funding source in the Bay Area, providing funding for many different types of land conservation projects. For more information see <http://scc.ca.gov/>.

**APPENDIX A-10: Checklist for CMA and Local Jurisdiction Compliance with MTC Resolution No. 4202**

**One Bay Area Grant (OBAG 2) Checklist for CMA Compliance with MTC Resolution No. 4202**

Federal Program Covering FY 2017-18 through FY 2021-22

The intent of this checklist is to delineate the requirements included in the OBAG 2 Grant Program (Resolution No. 4202), as adopted by MTC on November 18, 2015. This checklist must be completed by Congestion Management Agencies (CMAs) and submitted to MTC to certify compliance with the OBAG 2 requirements. MTC will not take action to program projects recommended by a CMA until a checklist demonstrating compliance has been submitted to MTC.

**CMA Call for Projects Guidance: Appendix A-7**

<b>1. Public Involvement and Outreach, Agency Coordination, and Title VI</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
a. Has the CMA conducted countywide outreach to stakeholders and the public to solicit project ideas consistent with Appendix A-7?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Has the CMA performed agency coordination consistent with Appendix A-7?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Has the CMA fulfilled its Title VI responsibilities consistent with Appendix A-7?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Has the CMA documented the efforts undertaken for Items 1a-1c, above, and submitted these materials to MTC as an attachment to this Checklist?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**PDA Investment and Growth Strategy: Appendix A-8**

<b>2. Engage with Regional and Local Jurisdictions</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
a. Has the CMA developed a process to regularly engage local planners and public works staff in developing a PDA Investment and Growth Strategy that supports and encourages development in the county's PDAs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Has the CMA encouraged community participation throughout the development of the Investment and Growth Strategy, consistent with the OBAG 2 Call for Projects Guidance (Appendix A-7)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If "NO" or "N/A –Not Applicable" is marked in any box on the checklist, please include a statement at the end of the checklist to indicate why the item was not met.

c.	Has the CMA governing board adopted the final Investment and Growth Strategy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d.	Has the CMA's staff or consultant designee participated in TAC meetings established through the local jurisdiction's planning processes funded through the regional PDA planning program?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e.	Has the CMA worked with MTC and ABAG staff to confirm that regional policies are addressed in PDA plans?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>3.</b>	<b>Planning Objectives to Inform Project Priorities</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
a.	Has the CMA kept itself apprised of ongoing transportation and land-use planning efforts throughout the county?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b.	Has the CMA encouraged local agencies to quantify transportation infrastructure needs and costs as part of their planning processes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c.	Has the CMA encouraged and supported local jurisdictions in meeting their housing objectives established through their adopted Housing Elements and RHNA?			
1.	Has the CMA received and reviewed information submitted to the CMA by ABAG on the progress that local jurisdictions have made in implementing their housing element objectives and identifying current local housing policies that encourage affordable housing production and/or community stabilization?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	In all updates of its PDA Investment & Growth Strategy, has the CMA assessed local jurisdiction efforts in approving sufficient housing for all income levels through the RHNA process and, where appropriate, assisted local jurisdictions in implementing local policy changes to facilitate achieving these goals?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Using guidance issued by MTC, has the Investment & Growth Strategy fully addressed items in C1 and C2, above?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>4. Establishing Local Funding Priorities</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
a. Has the CMA developed funding guidelines for evaluating OBAG 2 projects that support multi-modal transportation priorities based on connections to housing, jobs and commercial activity and that emphasize the following factors?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
1. Projects located in high impact project areas – favorably consider projects in high impact areas, defined as:			
a) PDAs taking on significant housing growth (total number of units) in the Sustainable Communities Strategy (SCS), including RHNA allocations, as well as housing production, especially those PDAs that are delivering large numbers of very low, low and moderate income housing units;			
b) Dense job centers in proximity to transit and housing (both current levels and those included in the SCS) especially those which are supported by reduced parking requirements and Travel Demand Management (TDM) programs;			
c) Improved transportation choices for all income levels (reduces VMT), proximity to quality transit access, with an emphasis on connectivity (including safety, lighting, etc.).			
2. Projects located in Communities of Concern (COC) as defined by MTC:			
a) CMAs may also include additional COCs beyond those defined by MTC, such as those defined by the CMAs according to local priorities or Community Based Transportation Plans.			

3. PDAs with affordable housing preservation, creation strategies and community stabilization policies.
4. Specific scoring methodology for funding allocations to projects in PDAs or TPAs that rewards jurisdictions with the most effective housing anti-displacement policies.
5. Projects that implement the Best Practices identified in the Air District's Planning Healthy Places guidelines, or projects located in jurisdictions that have demonstrated a commitment to adopt, as policies and/or enforceable ordinances, best practices to reduce emissions of and exposure to local air pollution. <sup>1</sup>
6. PDAs that overlap or are co-located with: 1) populations exposed to outdoor toxic air contaminants, as identified in the Air District's Community Air Risk Evaluation (CARE) Program and/or 2) freight transport infrastructure.

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b. Has the CMA submitted the documentation for item 4a to MTC as part of this Checklist?

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c. Has the CMA provided a status report on their PDA Investment & Growth Strategy (required two years after the adoption of a PDA Investment and Growth Strategy)? Note: The interim status report required for 2019 will be satisfied through a collaborative effort between the CMAs and MTC.

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d. Has the CMA committed to developing a new PDA Investment & Growth Strategy by May 1, 2017 (new PDA required every four years), consistent with the update of the RTP/SCS?

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<sup>1</sup> Guidance and maps have been developed in partnership with BAAQMD, CMAs, ABAG, and city staff, please see: <http://www.baaqmd.gov/plans-and-climate/planning-healthy-places>.

## PDA Policies

<b>5. PDA Minimum Investment Targets</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
a. Has the CMA met its minimum PDA investment target (70% for Alameda, Contra Costa, San Francisco, San Mateo, Santa Clara and 50% for Marin, Napa, Sonoma, and Solano)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Has the CMA defined the term “proximate access,” for projects located outside of a PDA that should be counted towards the county’s minimum PDA investment target?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Has the CMA designated and mapped projects recommended for funding that are not geographically within a PDA but provide “proximate access” to a PDA, along with policy justifications for those determinations, and presented this information for public review when the CMA board acts on OBAG 2 programming decisions?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Has the CMA submitted the documentation from items 5a-c, above, to MTC as part of this Checklist?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Project Selection Policies

<b>6. Project Selection</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
a. Has the CMA documented and submitted the approach used to select OBAG 2 projects including outreach, coordination, and Title VI compliance?	(See 1 & 2)		
b. Has the CMA issued a unified call for projects?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Has the CMA submitted a board adopted list of projects to MTC by July 31, 2017?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Does the CMA acknowledge that all selected projects must be submitted into MTC’s Fund Management System (FMS) along with a Resolution of Local Support no later than August 31, 2017?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 
- e. Does the CMA affirm that the projects recommended for funding meet the following requirements?
1. Are consistent with the current Regional Transportation Plan (Plan Bay Area);
  2. Have completed project-specific Complete Streets Checklists;
- 
- f. Does the CMA acknowledge the that OBAG 2 funding is subject to MTC's Regional Project Delivery Policy (Resolution No. 3606, or successor resolution) in addition to the following OBAG 2 deadlines?
1. Half of the CMA's OBAG 2 funds, must be obligated by January 31, 2020; and
  2. All remaining OBAG 2 funds must be obligated by January 31, 2023.
- 

## Performance and Accountability Policies

<b>7. Ensuring Local Compliance</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
a. Has the CMA received confirmation that local jurisdictions have met the Performance and Accountability Policies requirements related to Complete Streets, local Housing Elements, surplus lands (general law cities and counties only unless and until a final court decision is rendered that charter cities are subject to the provisions of the State Surplus Land Act), local streets and roads, and transit agency project locations as set forth in pages 18-21 of MTC Resolution 4202? <i>Note: CMAs can use the Local Jurisdiction OBAG 2 Requirement Checklist to help fulfill this requirement.</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Has the CMA affirmed to MTC that a jurisdiction is in compliance with the requirements of MTC Resolution 4202 prior to programming OBAG 2 funds to its projects in the TIP?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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<b>8. Completion of Checklist</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
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**Has the CMA completed all section of this checklist?**

If the CMA has checked "NO" or "N/A" to any checklist items, please include which item and a description below as to why the requirement was not met or is considered Not Applicable:

<b>Attachments</b>
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- Documentation of CMA efforts for public outreach, agency coordination, and Title VI compliance (Checklist Items 1, 2).
- Documentation of CMA compliance with PDA minimum investment targets, including documentation that the information was presented to the public during the decision-making process (Checklist Item 6).

## **Review and Approval of Checklist**

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This checklist was prepared by:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name & Title (print)

\_\_\_\_\_  
Phone

\_\_\_\_\_  
Email

This checklist was approved for submission to MTC by:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
CMA Executive Director

## One Bay Area Grant (OBAG 2) Checklist for Local Compliance with MTC Resolution No. 4202

Federal Program Covering FY 2017-18 through FY 2021-22

The intent of this checklist is to delineate the requirements for local jurisdictions included in the OBAG Grant Program (Resolution No. 4202), as adopted by MTC on November 18, 2015. This checklist must be completed by local jurisdictions and submitted to the CMA to certify compliance with the OBAG 2 requirements listed in MTC Resolution No. 4202. MTC will not take action to program projects for a local jurisdiction until the CMA affirms that the jurisdiction has met all requirements included in OBAG 2.

<b>1. Compliance with the Complete Streets Act of 2008</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
a. Has the jurisdiction met MTC’s Complete Street Requirements for OBAG 2 prior to the CMA submitting its program to MTC through either of the following methods? <ol style="list-style-type: none"> <li>1. Adopting a Complete Streets resolution incorporating MTC’s nine required complete streets elements; or</li> <li>2. Adopting a significant revision to the General Plan Circulation Element after January 1, 2010 that complies with the California Complete Streets Act of 2008.</li> </ol>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Has the jurisdiction submitted documentation of compliance with Item a. (copy of adopted resolution or circulation element) to the CMA as part of this Checklist?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Has the jurisdiction submitted a Complete Streets Checklist for any project for which the jurisdiction has applied for OBAG 2 funding?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>2. Housing Element Certification</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
a. Has the jurisdiction’s General Plan Housing Element been certified by the California Department of Housing and Community Development (HCD) for 2014-2022 RHNA prior to May 31, 2015? If not, has the jurisdiction’s Housing Element been fully certified by HCD by June 30, 2016?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Has the jurisdiction submitted the latest Annual Housing Element Report to HCD by April 1, 2017?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

c. Does the jurisdiction acknowledge that the Annual Housing Element Report must be submitted to HCD each year through the end of the OBAG 2 program (FY22) in order to be eligible to receive funding?

d. Has the jurisdiction submitted documentation of compliance with Item 2 (copy of certified housing element or annual report, or letter of compliance from HCD) to the CMA as part of this Checklist?

### 3. Surplus Land Act

a. Has the jurisdiction met MTC’s Surplus Land Requirements for OBAG 2 prior to the CMA submitting its program, through adoption of a resolution demonstrating compliance with the State’s Surplus Land Act (AB 2135 amended)? Resolution requirement applies only to general law cities and counties unless and until a final court decision is rendered that charter cities must comply with the provisions of this Act.

### 4. Local Streets and Roads

**YES NO N/A**

a. Does the jurisdiction have a certified Pavement Management Program (StreetSaver® or equivalent) updated at least once every three years (with a one-year extension allowed)?

b. Does the jurisdiction fully participate in the statewide local streets and roads needs assessment survey?

c. Does the jurisdiction provide updated information to the Highway Performance Monitoring System (HPMS) at least once every 3 years (with a one-year grace period allowed)?

### 5. Projects Sponsored by Other Agencies

**YES NO N/A**

a. Does the jurisdiction acknowledge that the jurisdiction in which a project is located must comply with OBAG 2 requirements (MTC Resolution No. 4202) in order for any project funded with OBAG 2 funds to be located within the jurisdiction, even if the project is sponsored by an outside agency (such as a transit agency)?

<b>6. Regional Project Delivery Requirements</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
a. Does the jurisdiction acknowledge that it must comply with the regional Project Delivery Policy and Guidance requirements (MTC Resolution No. 3606) in the implementation of the project, and that the jurisdiction must identify and maintain a Single Point of Contact for all projects with FHWA-administered funding?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

<b>7. Completion of Checklist</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>
<b>Has the jurisdiction completed all sections of this checklist?</b>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

If the jurisdiction has checked "NO" or "N/A" to any of the above questions, please provide an explanation below as to why the requirement was not met or is considered not applicable:

### **Attachments**

- Documentation of local jurisdiction's compliance with MTC's Complete Streets Requirements, including copy of adopted resolution or circulation element (Checklist Item 1).
- Documentation of compliance with MTC's Housing Element Requirements, such as a copy of certified housing element or annual report, or a letter of compliance from HCD (Checklist Item 2).
- Documentation of compliance with the State's Surplus Land Act, such as a copy of the adopted resolution (Checklist Item 3). This requirement applies only to general law cities and counties unless and until a final court decision is rendered that charter cities must comply with the provisions of this Act.

## **Review and Approval of Checklist**

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This checklist was prepared by:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name & Title (print)

\_\_\_\_\_  
Phone

\_\_\_\_\_  
Email

This checklist was approved for submission to <INSERT NAME>City/County by:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
City Manager/Administrator or designee

**Attachment B-1**  
**MTC Resolution No. 4202**  
**OBAG 2 Regional Programs**  
**FY 2017-18 through FY 2021-22**  
**July 2020**

MTC Res. No. 4202 Attachment B-1

Adopted: 11/18/15-C

Revised: 07/27/16-C 10/26/16-C 12/21/16-C 03/22/17-C 05/24/17-C 06/28/17-C 07/26/17-C  
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 07/22/20-C

**OBAG 2 Regional Programs Project List**

PROJECT CATEGORY AND TITLE	SPONSOR	Total STP/CMAQ	Other
<b>OBAG 2 REGIONAL PROGRAMS</b>		<b>\$449,683,781</b>	<b>\$51,951,219</b>
<b>1. REGIONAL PLANNING ACTIVITIES</b>			
Regional Planning	MTC	\$9,555,000	
<b>1. REGIONAL PLANNING ACTIVITIES</b>	<b>TOTAL:</b>	<b>\$9,555,000</b>	
<b>2. PAVEMENT MANAGEMENT PROGRAM</b>			
Pavement Management Program	MTC	\$1,500,000	
Pavement Technical Advisory Program (PTAP)	MTC	\$7,500,000	
Statewide Local Streets and Roads (LSR) Needs Assessment	MTC/Caltrans	\$250,000	
<b>2. PAVEMENT MANAGEMENT PROGRAM</b>	<b>TOTAL:</b>	<b>\$9,250,000</b>	
<b>3. PDA PLANNING &amp; IMPLEMENTATION</b>			
PDA Planning and Implementation			
PDA Implementation	MTC	\$2,000,000	
PDA Supportive Studies	MTC	\$500,000	
PDA Planning			
Union City: Decoto Industrial Parkway Study Area Specific Plan 2.0	MTC	\$800,000	
El Cerrito: San Pablo Avenue Specific Plan and EIR Update/Amendments	MTC	\$308,000	
Moraga: Moraga Center Specific Plan Implementation Project	MTC	\$140,000	
San Rafael: Downtown Precise Plan	MTC	\$500,000	
San Francisco: HUB Area EIR	MTC	\$500,000	
San Francisco: Transit Corridors Study	MTC	\$500,000	
San Jose/VTA: Diridon Integrated Station Area Concept Plan	MTC	\$800,000	
San Jose: SW Expressway/Race Street Light Rail Urban Village Plans	MTC	\$500,000	
Vacaville: Downtown Specific Plan	MTC	\$350,000	
Santa Rosa: Downtown Station Area Specific Plan Update/Amendment	MTC	\$800,000	
Staffing Assistance			
Emeryville: Mitigate Regulation-Induced Displacement, Streamlined Asset Management	MTC	\$180,000	
Fremont: SB743 Implementation	MTC	\$150,000	
Hayward: SB743 Implementation	MTC	\$150,000	
Oakland: ADU Initiative	MTC	\$200,000	
Oakland: Innovative Construction Initiative	MTC	\$200,000	
Concord: VMT-based Transportation Impact Standards	MTC	\$150,000	
Concord: Galindo Street Corridor Plan	MTC	\$200,000	
Lafayette: Updated Parking Ordinance and Strategies	MTC	\$150,000	
San Jose: PDA/Citywide Design Guidelines	MTC	\$200,000	
Windsor: Parking Management and Pricing	MTC	\$35,000	
Technical Assistance			
Emeryville: Developing the Highest and Best Use of the Public Curb	MTC	\$65,000	
Oakland: General Plan Framework - PDA Community Engagement Program	MTC	\$65,000	
San Francisco: Mission-San Jose PDA Housing Feasibility Analysis	MTC	\$65,000	
San Francisco: PDA Density Bonus Program	MTC	\$65,000	
Belmont: Transportation Demand Management Program	MTC	\$65,000	
BART AB2923 Implementation	BART	\$1,000,000	
Unprogrammed balance	MTC	\$7,862,000	
Community-Based Transportation Plan (CBTP) Updates	MTC		
ACTC: CMA Planning (for Community-Based Transportation Plans)	MTC	\$300,000	
CCTA: Community-Based Transportation Plans	MTC	\$215,000	
TAM: Community-Based Transportation Plans	MTC	\$75,000	
NVTA: Community-Based Transportation Plans	MTC	\$75,000	
SFCTA: Community-Based Transportation Plans	MTC	\$175,000	
C/CAG: Community-Based Transportation Plans	MTC	\$120,000	
VTA: Community-Based Transportation Plans	MTC	\$300,000	
STA: Community-Based Transportation Plans	MTC	\$95,000	
SCTA: Community-Based Transportation Plans	MTC	\$110,000	
CBTP Program Evaluation	MTC	\$35,000	
<b>3. PDA PLANNING &amp; IMPLEMENTATION</b>	<b>TOTAL:</b>	<b>\$20,000,000</b>	
<b>4. CLIMATE INITIATIVES</b>			

**Attachment B-1**  
**MTC Resolution No. 4202**  
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**FY 2017-18 through FY 2021-22**  
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MTC Res. No. 4202 Attachment B-1

Adopted: 11/18/15-C

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**OBAG 2 Regional Programs Project List**

PROJECT CATEGORY AND TITLE	SPONSOR	Total STP/CMAQ	Other
<b>OBAG 2 REGIONAL PROGRAMS</b>		<b>\$449,683,781</b>	<b>\$51,951,219</b>
Climate Initiatives		\$10,875,000	
Spare the Air & EV Program Outreach (for Electric Vehicle Programs)	BAAQMD	\$10,000,000	
Carsharing Implementation	MTC	\$800,000	
Targeted Transportation Alternatives	MTC	\$325,000	
Spare the Air Youth Program - 2	MTC	\$1,417,000	
Grand Ave Bike/Ped Imps (for SMART 2nd to Andersen Pathway)	San Rafael	\$1,000,000	
<b>4. CLIMATE INITIATIVES</b>		<b>TOTAL: \$24,417,000</b>	
<b>5. REGIONAL ACTIVE OPERATIONAL MANAGEMENT</b>			
Active Operational Management			
AOM Implementation	MTC	\$23,737,000	
Bay Area 511 Traveler Information			
511 Next Gen	MTC	\$26,148,000	
511 Implementation	MTC	\$7,450,000	
Rideshare			
Rideshare Implementation	MTC	\$720,000	
Carpool Program	MTC	\$7,280,000	
Vanpool Program	MTC	\$2,000,000	
Commuter Benefits Implementation	MTC	\$674,000	
Commuter Benefits Program	MTC	\$1,111,000	
Napa Valley Transportation Demand Strategies (Fund Exchange)	MTC/NVTA		\$1,100,000
Bay Bridge Forward			
Transbay Higher Capacity Bus Fleet/Increased Service Frequencies	AC Transit	\$1,200,000	
Pilot Transbay Express Bus Routes	AC Transit	\$800,000	
Eastbay Commuter Parking	MTC	\$2,500,000	
Transbay Higher Capacity Bus Fleet/Increased Service Frequencies	WestCat	\$2,000,000	
Dumbarton Forward			
SR 84 (US 101 to I-880) Dumbarton Forward	MTC	\$4,375,000	
Richmond-San Rafael Bridge Forward			
Richmond-San Rafael Bridge Bikeway Access (Fund Exchange)	Richmond		\$500,000
Richmond-San Rafael Bridge Forward (Fund Exchange)	MTC		\$1,160,000
Freeway Performance Program			
Freeway Performance Program	MTC	<b>\$14,240,000</b>	
FPP: I-880 (I-80 to I-280)	MTC	\$3,000,000	
FPP: I-580 WB HOV Lane Extension (SR 24 to I-80/SFOBB approach) PL & ENV Only	MTC	\$625,000	
FPP: I-80 (Carquinez Bridge to Fremont St., SF) PL only	MTC	\$3,000,000	
FPP: CC I-680 NB HOV/Express Lanes (Ala Co. to Sol Co.)	MTC	\$10,000,000	
FPP: I-80 Central Ave Interchange Improvements	Richmond	\$2,000,000	
FPP: SR 37 (US 101 to I-80) PL only	MTC	\$1,000,000	
<b>FPP: Napa Valley Forward Traffic Calming &amp; Multimodal Imps.</b>	<b>MTC</b>	<b>\$1,000,000</b>	
FPP: US 101 (SR 85 to San Francisco Co. Line)	MTC	\$3,000,000	
FPP: SCTA US 101/Marin Sonoma Narrows (MSN) B2 Phase 2	SCTA	\$1,000,000	
Program for Arterial System Synchronization (PASS)			
IDEA Technical Assistance	MTC	\$5,000,000	
Innovative Deployments for Enhanced Arterials (IDEA)			
IDEA Technical Assistance	MTC	\$1,532,000	
IDEA Category 1			
AC Transit: Dumbarton Express Route (SR84)	MTC	\$2,300,000	
Alameda: Webster & Posey Tubes (SR 260), Park St	MTC	\$276,000	
Hayward: Various Locations	MTC	\$302,000	
Oakland: Bancroft Ave	MTC	\$310,000	
Pleasanton: Various Locations	MTC	\$290,000	
Union City: Union City Blvd & Decoto Rd	MTC	\$710,000	
San Ramon: Bollinger Canyon Rd & Crow Canyon Rd	MTC	\$563,000	
San Rafael: Downtown San Rafael	MTC	\$830,000	
South San Francisco: Various Locations	MTC	\$532,000	
San Jose: Citywide	MTC	\$1,400,000	
IDEA Category 2			
LAVTA/Dublin: Citywide	MTC	\$385,000	



**Attachment B-1**  
**MTC Resolution No. 4202**  
**OBAG 2 Regional Programs**  
**FY 2017-18 through FY 2021-22**  
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MTC Res. No. 4202 Attachment B-1

Adopted: 11/18/15-C

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**OBAG 2 Regional Programs Project List**

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<b>OBAG 2 REGIONAL PROGRAMS</b>		<b>\$449,683,781</b>	<b>\$51,951,219</b>
Emeryville: Powell, Shellmound, Christie & 40th St	MTC	\$785,000	
Concord: Concord Blvd, Clayton Rd & Willow Pass Rd (Fund Exchange)	MTC		\$589,000
MTC Concord Blvd, Clayton Rd & Willow Pass Rd (Fund Exchange)	MTC		\$30,000
Walnut Creek: Various locations (Fund Exchange)	MTC		\$621,000
Los Gatos: Los Gatos Blvd	MTC	\$700,000	
VTa: Veterans Admin. Palo Alto Medical Center	VTA	\$845,000	
Connected Vehicles/Automated Vehicles (CV/AV)	MTC	\$2,500,000	
Shared Use Mobility	MTC	\$2,500,000	
<b>Connected Bay Area</b>			
TMS Implementation	MTC	\$2,910,000	
TMC Asset Upgrade and Replacement	MTC	\$1,150,000	
I-880 Communication Upgrade and Infrastructure Gap Closures	MTC	\$11,940,000	
InterConnect Bay Area Program	MTC	\$3,000,000	
<b>Incident Management</b>			
Incident Management Implementation	MTC	\$4,160,000	
I-880 ICM Northern	MTC	\$6,200,000	
I-880 ICM Central	MTC	\$2,640,000	
Unprogrammed Balance	TBD	\$380,000	
<b>5. REGIONAL ACTIVE OPERATIONAL MANAGEMENT</b>		<b>TOTAL: \$173,000,000</b>	<b>\$4,000,000</b>
<b>6. TRANSIT PRIORITIES</b>			
BART Car Replacement/Expansion	BART	\$99,800,000	
GGB Suicide Deterrent (for BART Car Replacement/Expansion)	GGBH&TD	<b>\$2,078,781</b>	<b>\$37,921,219</b>
Clipper	MTC	\$34,200,000	
Unprogrammed Balance		\$15,283,000	
<b>6. TRANSIT PRIORITIES</b>		<b>TOTAL: \$151,361,781</b>	<b>\$37,921,219</b>
<b>7. PRIORITY CONSERVATION AREA (PCA)</b>			
<b>Regional Peninsula, Southern and Eastern Counties PCA Grant Program</b>			
Bay Area GreenPrint: PCA Functionality Imps (Fund Exchange)	MTC/GreenInfo Network		\$30,000
PCA Grant Implementation	MTC/Coastal Conservancy		\$500,000
Alameda County: Niles Canyon Trail, Phase 1	Alameda County		\$321,000
Albany: Albany Hill Access Improvements	Albany		\$251,000
Livermore: Arroyo Road Trail	Livermore		\$400,000
EBRPD: Bay Trail at Point Molate (RSR Bridge to Point Molate Beach Park)	East Bay Regional Parks District		\$1,000,000
JMLT: Pacheco Marsh/Lower Walnut Creek Restoration and Public Access	John Muir Land Trust		\$950,000
San Francisco: McLaren Park and Neighborhood Connections Plan	San Francisco Recreation and Parks		\$194,000
GGNPC/NPS: Rancho Corral de Tierra Unit Management Plan Engagement	National Parks Service		\$200,000
SMCHD: Pillar Point Public Access Improvements	San Mateo Co. Harbor District		\$298,000
Menlo Park: Bedwell Bayfront Park Entrance Improvements	Menlo Park		\$520,000
San Mateo Co.: Colma Creek Adaptation Study (Colma Creek Connector)	San Mateo Co.		\$110,000
Point Blue: Pajaro River Watershed: Habitat Restoration and Climate Resilient Imps.	Point Blue Conservation Science		\$379,000
SCVOSA: Coyote Ridge Open Space Preserve Public Access, Phase 1	Santa Clara Valley Open Space Auth.		\$400,000
SCVOSA: Tilton Ranch Acquisition	Santa Clara Valley Open Space Auth.		\$1,000,000
Unprogrammed Balance	TBD		\$1,647,000
<b>North Bay PCA Grant Program</b>			
Marin County: Hicks Valley/Wilson Hill/Marshall-Petaluma Rehab. (for Corte Madera: Paradise	Marin County	\$312,000	
Marin County: Hicks Valley/Wilson Hill/Marshall-Petaluma Rd Rehab	Marin County	\$869,000	
Novato: Nave Dr/Bell Marin Keys Rehabilitation (for Hill Recreation Area Imps.)	Novato	\$104,000	
Novato: Vineyard Rd Improvements (for Hill Recreation Area Imps.)	Novato	\$265,000	
National Parks Service: Fort Baker's Vista Point Trail	NPS	\$500,000	
NVTA: Vine Trail - St. Helena to Calistoga	NVTA	\$711,000	
Napa: Vine Trail - Soscol Ave Corridor	Napa	\$650,000	
Napa County: Silverado Trail Rehabilitation - Phase L	Napa County	\$689,000	
Solano County: Suisun Valley Farm-to-Market - Phase 3 Bike Imps	Solano County	\$2,050,000	
Sonoma County: Crocker Bridge Bike/Pedestrian Bridge	Sonoma County	\$1,280,000	
Sonoma County: Joe Rodota Trail Bridge Replacement	Sonoma County	\$770,000	

**Attachment B-1**  
**MTC Resolution No. 4202**  
**OBAG 2 Regional Programs**  
**FY 2017-18 through FY 2021-22**  
**July 2020**

MTC Res. No. 4202 Attachment B-1

Adopted: 11/18/15-C

Revised: 07/27/16-C 10/26/16-C 12/21/16-C 03/22/17-C 05/24/17-C 06/28/17-C 07/26/17-C  
 09/27/17-C 10/25/17-C 12/20/17-C 01/24/18-C 02/28/18-C 03/28/18-C 04/25/18-C 05/23/18-C  
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 06/26/19-C 09/25/19-C 10/23/19-C 11/20/19-C 02/26/20-C 05/27/20-C  
 07/22/20-C

**OBAG 2 Regional Programs Project List**

PROJECT CATEGORY AND TITLE	SPONSOR	Total STP/CMAQ	Other
<b>OBAG 2 REGIONAL PROGRAMS</b>		<b>\$449,683,781</b>	<b>\$51,951,219</b>
<b>7. PRIORITY CONSERVATION AREA (PCA)</b>	<b>TOTAL:</b>	<b>\$8,200,000</b>	<b>\$30,000</b>
<b>8. BAY AREA HOUSING INITIATIVES</b>			
Bay Area Preservation Pilot (BAPP) (Funding Exchange)	MTC		\$10,000,000
Housing Incentive Pool	TBD	\$25,000,000	
Sub-HIP Pilot Program			
Solano County projects—TBD	TBD	\$4,000,000	
<u>Fairfield: Pavement Preservation/Rehabilitation (for One Lake Apts. Linear Park Trail)</u>	<u>Fairfield</u>	<u>\$2,100,000</u>	
<u>Vacaville: Pavement Preservation/Rehabilitation (for Allison PDA Affordable Housing)</u>	<u>Vacaville</u>	<u>\$1,900,000</u>	
Other North Bay County projects—TBD	TBD	\$1,000,000	
<u>Marin County: Marin City Pedestrian Crossing Imps.</u>	<u>Marin County</u>	<u>\$300,000</u>	
<u>NVTA: Imola Park and Ride</u>	<u>NVTA</u>	<u>\$300,000</u>	
<u>Santa Rosa: Downtown Multi-modal and Fiber Improvements</u>	<u>Santa Rosa</u>	<u>\$400,000</u>	
<b>8. BAY AREA HOUSING INITIATIVES</b>	<b>TOTAL:</b>	<b>\$30,000,000</b>	<b>\$10,000,000</b>
<b>9. REGIONAL STRATEGIC INVESTMENTS (RSI)</b>			
CC I-680 NB HOV/Express Lanes Ala Co to Sol Co (Fund Exchange)	CCTA/MTC	\$4,000,000	
US 101/Marin Sonoma Narrows (MSN) B2 Phase 2 (Fund Exchange)	SCTA	\$15,400,000	
Novato: Pavement Rehab (for Downtown Novato SMART Station)	Novato	\$617,000	
Old Redwood Highway Multi-Use Pathway	TAM	\$1,120,000	
San Rafael: Grand Ave Bridge	San Rafael	\$763,000	
US 101 Marin-Sonoma Narrows	TAM	\$2,000,000	
<b>9. REGIONAL STRATEGIC INVESTMENTS (RSI)</b>	<b>TOTAL:</b>	<b>\$23,900,000</b>	
<b>OBAG 2 REGIONAL PROGRAMS</b>	<b>TOTAL:</b>	<b>\$449,683,781</b>	<b>\$51,951,219</b>

J:\SECTION\ALLSTAFF\Resolution\TEMP-RES\MTC\RES-4202\_ongoing\_OBAG2\RES-4202\_Attachment-B-1.xlsx July 2020

**Attachment B-2**  
**MTC Resolution No. 4202**  
**OBAG 2 County Programs**  
**FY 2017-18 through FY 2021-22**  
**September 2020**

MTC Res. No. 4202 Attachment B-2  
 Adopted: 11/18/15-C  
 Revised: 07/27/16-C 12/21/16-C 04/26/17-C 06/28/17-C 11/15/17-C  
 12/20/17-C 02/28/18-C 05/23/18-C 06/27/18-C 09/26/18-C  
 12/19/18-C 01/23/19-C 06/26/19-C 09/25/19-C 11/20/19-C  
 02/26/20-C 09/23/20-C

**OBAG 2 County Programs Project List**

<b>PROJECT CATEGORY AND TITLE</b>	<b>SPONSOR</b>	<b>OBAG 2 STP/CMAQ</b>
<b>OBAG 2 COUNTY PROGRAMS</b>		<b>\$387,512,000</b>
<b>ALAMEDA COUNTY</b>		
CMA Planning Activities		
Planning Activities Base	ACTC	\$5,489,000
Planning Activities - Supplemental	ACTC	\$2,800,000
Federal Aid Secondary (FAS)		
Alameda County: Various Streets & Roads Preservation	Alameda County	\$1,779,000
Safe Routes To School (SRTS)		
ACTC: Alameda County SRTS Non-Infrastructure Program	ACTC	\$5,340,000
County Program		
ACTC: Alameda County SRTS Non-Infrastructure Program - Supplemental	ACTC	\$1,959,000
Alameda: Central Ave Complete Street	Alameda	\$3,487,000
Alameda: Citywide Various Streets and Roads Preservation	Alameda	\$827,000
Alameda: Clement Ave Complete Street	Alameda	\$5,018,000
Alameda County: Meekland Ave Corridor Improvement, Phase II	Alameda County	\$9,300,000
Alameda County: Various Streets and Roads Preservation	Alameda County	\$2,171,000
Albany: San Pablo Ave and Buchanan St Pedestrian Improvements	Albany	\$340,000
Berkeley: Southside Complete Streets & Transit Improvements	Berkeley	\$8,335,000
Dublin: Dublin Blvd Rehabilitation	Dublin	\$661,000
Emeryville: Slurry Seal of Frontage Rd, 65th St, and Powell St	Emeryville	\$225,000
Fremont: Complete Streets Upgrade of Relinquished SR 84 in Centerville PDA	Fremont	\$7,695,000
Fremont: Various Streets and Roads Rehabilitation	Fremont	\$2,760,000
Hayward: Main St Complete Street	Hayward	\$1,675,000
Hayward: Winton Ave Complete Street	Hayward	\$1,750,000
Livermore: Annual Pavement Preservation	Livermore	\$1,382,000
MTC: I-580 Corridor Study	MTC	\$200,000
Newark: Thornton Ave Pavement Rehabilitation	Newark	\$592,000
Oakland: Lakeside Family Streets	Oakland	\$4,792,000
Oakland: Citywide Various Streets and Roads Rehabilitation	Oakland	\$4,895,000
Piedmont: Oakland Ave Improvements	Piedmont	\$168,000
Pleasanton: Hacienda Business Park Pavement Rehabilitation	Pleasanton	\$1,095,000
San Leandro: Washington Ave Rehabilitation	San Leandro	\$1,048,000
Union City: Dyer Rd Pavement Rehabilitation	Union City	\$872,000
<b>ALAMEDA COUNTY</b>	<b>TOTAL:</b>	<b>\$76,655,000</b>
<b>CONTRA COSTA COUNTY</b>		
CMA Planning Activities		
Planning Activities Base	CCTA	\$4,342,000
Federal Aid Secondary (FAS)		
Contra Costa County: Kirker Pass Rd Overlay	Contra Costa County	\$1,343,000
Safe Routes To School (SRTS)		
Antioch: L Street Pathway to Transit	Antioch	\$1,469,000
Concord: Willow Pass Road Rehab and SRTS	Concord	\$1,012,000
Contra Costa County: West County Walk & Bike Non-Infrastructure Prog.	Contra Costa County	\$561,000
Moraga: Moraga Way and Canyon Rd/Camino Pablo Improvements	Moraga	\$91,000
Pleasant Hill: Pleasant Hill Rd Improvements	Pleasant Hill	\$67,000
Richmond: Lincoln Elementary Pedestrian Enhancements	Richmond	\$497,000
San Ramon: San Ramon Valley Street Smarts Non-Infrastructure Program	San Ramon	\$391,000
County Program		
Antioch: Pavement Rehabilitation	Antioch	\$2,474,000
Brentwood: Various Streets and Roads Preservation	Brentwood	\$628,000
Clayton: Neighborhood Streets Rehabilitation	Clayton	\$308,000
Concord: Monument Blvd Class I Path	Concord	\$4,368,000

**Attachment B-2**  
**MTC Resolution No. 4202**  
**OBAG 2 County Programs**  
**FY 2017-18 through FY 2021-22**  
**September 2020**

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**OBAG 2 County Programs Project List**

<b>PROJECT CATEGORY AND TITLE</b>	<b>SPONSOR</b>	<b>OBAG 2 STP/CMAQ</b>
<b>OBAG 2 COUNTY PROGRAMS</b>		<b>\$387,512,000</b>
Concord: Willow Pass Road Rehab and SRTS	Concord	\$4,183,000
Contra Costa County: Local Streets and Roads Preservation	Contra Costa County	\$4,327,000
Danville: Camino Ramon Improvements	Danville	\$1,357,000
El Cerrito: Carlson Blvd and Central Ave Pavement Rehabilitation	El Cerrito	\$544,000
El Cerrito: El Cerrito del Norte TOD Complete Streets Imps	El Cerrito	\$4,840,000
Hercules: Sycamore/Willow Pavement Rehabilitation	Hercules	\$492,000
Lafayette: Pleasant Hill Rd Pavement Rehabilitation	Lafayette	\$579,000
Martinez: Downtown Streets Rehabilitation	Martinez	\$846,000
Moraga: Moraga Way and Canyon Rd/Camino Pablo Improvements	Moraga	\$596,000
Oakley: Street Repair and Resurfacing	Oakley	\$969,000
Orinda: Orinda Way Pavement Rehabilitation	Orinda	\$620,000
Pinole: San Pablo Ave Rehabilitation	Pinole	\$586,000
Pittsburg: BART Pedestrian and Bicycle Connectivity Improvements	Pittsburg	\$3,870,000
Pittsburg: Pavement Improvements	Pittsburg	\$2,410,000
Pleasant Hill: Pleasant Hill Rd Improvements	Pleasant Hill	\$920,000
Richmond: ADA Improvements on 7th, Central, Cutting, Giant Hwy	Richmond	\$2,205,000
San Pablo: Giant Rd Pavement Rehabilitation	San Pablo	\$618,000
San Ramon: Alcosta Blvd Pavement Rehabilitation	San Ramon	\$1,175,000
San Ramon: Iron Horse Bike and Pedestrian Overcrossings	San Ramon	\$4,840,000
Walnut Creek: Ygnacio Valley Rd Rehabilitation	Walnut Creek	\$2,608,000
<b>CONTRA COSTA COUNTY</b>	<b>TOTAL:</b>	<b>\$56,136,000</b>
<b>MARIN COUNTY</b>		
CMA Planning Activities		
Planning Activities Base	TAM	\$3,822,000
Federal Aid Secondary (FAS)		
County of Marin receives FAS funding directly from Caltrans		
Safe Routes To School (SRTS)		
Corte Madera: Paradise Dr Multi-Use Path (San Clement Dr to Seawolf Passage)	Corte Madera	\$595,000
San Anselmo: San Anselmo Bike Spine	San Anselmo	\$269,000
County Program		
GGBHTD: San Rafael Bettini Transit Center	GGBHTD	\$1,250,000
Novato: Nave Dr and Bel Marin Keys Blvd Preservation (for Novato Downtown SM	Novato	\$1,450,000
San Anselmo: Sir Francis Drake Blvd Pavement Rehab and Crossing Imps	San Anselmo	\$1,134,000
San Rafael: Francisco Blvd East Sidewalk Improvements	San Rafael	\$2,100,000
Sausalito: US 101/Bridgeway/Gate 6 Bicycle Improvements	Sausalito	\$250,000
<b>MARIN COUNTY</b>	<b>TOTAL:</b>	<b>\$10,870,000</b>
<b>NAPA COUNTY</b>		
CMA Planning Activities		
Planning Activities Base	NVTA	\$3,822,000
Federal Aid Secondary (FAS)		
County of Napa receives FAS funding directly from Caltrans		
Safe Routes To School (SRTS)		
NVTA: Napa County SRTS Non-Infrastructure Program	NVTA	\$122,000
St. Helena: Main St Pedestrian Improvements	St. Helena	\$393,000
County Program		
American Canyon: Green Island Rd Improvements	American Canyon	\$1,000,000
<b>Napa: Silverado Trail Five-way Intersection Improvement</b>	<b>Napa (city)</b>	<b>\$2,000,000</b>
<b>NVTA: Vine Transit Bus Maintenance Facility</b>	<b>NVTA</b>	<b>\$2,000,000</b>
St. Helena: Main St Pedestrian Improvements	St. Helena	\$813,000
<b>NAPA COUNTY</b>	<b>TOTAL:</b>	<b>\$10,150,000</b>

**Attachment B-2**  
**MTC Resolution No. 4202**  
**OBAG 2 County Programs**  
**FY 2017-18 through FY 2021-22**  
**September 2020**

MTC Res. No. 4202 Attachment B-2  
 Adopted: 11/18/15-C  
 Revised: 07/27/16-C 12/21/16-C 04/26/17-C 06/28/17-C 11/15/17-C  
 12/20/17-C 02/28/18-C 05/23/18-C 06/27/18-C 09/26/18-C  
 12/19/18-C 01/23/19-C 06/26/19-C 09/25/19-C 11/20/19-C  
 02/26/20-C 09/23/20-C

**OBAG 2 County Programs Project List**

PROJECT CATEGORY AND TITLE	SPONSOR	OBAG 2 STP/CMAQ
<b>OBAG 2 COUNTY PROGRAMS</b>		<b>\$387,512,000</b>
<b>SAN FRANCISCO COUNTY</b>		
CMA Planning Activities		
Planning Activities Base	SFCTA	\$3,997,000
Planning Activities - Supplemental	SFCTA	\$1,900,000
Federal Aid Secondary (FAS)		
County of San Francisco is entirely urban and therefore does not receive FAS funding		
Safe Routes To School (SRTS)		
SFMTA: San Francisco SRTS Non-Infrastructure Program	SFMTA	\$1,797,000
County Program		
BART: Embarcadero Station New Northside Platform Elevator and Faregates	BART	\$2,000,000
Caltrain: Peninsula Corridor Electrification	Caltrain	\$11,188,000
SFMTA: Geary Bus Rapid Transit Phase 1	SFMTA	\$6,939,000
SFMTA: San Francisco SRTS Non-Infrastructure Program - Supplemental	SFMTA	\$1,016,000
SFMTA: Central Subway	SFMTA	\$15,980,000
SFDPW: Better Market Street	SFDPW	\$3,366,000
<b>SAN FRANCISCO COUNTY</b>		<b>TOTAL: \$48,183,000</b>
<b>SAN MATEO COUNTY</b>		
CMA Planning Activities		
Planning Activities Base	C/CAG	\$3,822,000
Planning Activities - Supplemental	C/CAG	\$1,512,000
Federal Aid Secondary (FAS)		
County of San Mateo receives FAS funding directly from Caltrans		
Safe Routes To School (SRTS)		
C/CAG: San Mateo SRTS Non-Infrastructure Program	CCAG/COE	\$2,394,000
County Program		
Atherton: James Ave Rehabilitation	Atherton	\$251,000
Belmont: Various Streets Pavement Rehabilitation	Belmont	\$467,000
Belmont: Ralston Ave Corridor Bike/Ped Improvements	Belmont	\$1,000,000
Brisbane: Crocker Trail Commuter Connectivity Upgrades	Brisbane	\$885,000
Brisbane: Tunnel Ave Rehabilitation	Brisbane	\$137,000
Burlingame: Various Streets Resurfacing	Burlingame	\$571,000
Burlingame: Broadway PDA Lighting Improvements	Burlingame	\$720,000
Burlingame: Hoover School Area Sidewalk Improvements	Burlingame	\$700,000
C/CAG: San Mateo SRTS Non-Infrastructure Program - Supplemental	CCAG/COE	\$223,000
Colma: Mission Rd Bike/Ped Improvements	Colma	\$625,000
Daly City: Various Streets Pavement Resurfacing and Slurry Seal	Daly City	\$1,310,000
East Palo Alto: Various Streets Resurfacing	East Palo Alto	\$416,000
Foster City: Various Streets Pavement Rehabilitation	Foster City	\$441,000
Half Moon Bay: Poplar Street Complete Streets	Half Moon Bay	\$1,202,000
Hillsborough: Various Streets Resurfacing	Hillsborough	\$408,000
Menlo Park: Santa Cruz and Middle Avenues Rehabilitation	Menlo Park	\$647,000
Millbrae: Various Streets Pavement Rehabilitation	Millbrae	\$387,000
Pacifica: Citywide Curb Ramp Replacements	Pacifica	\$400,000
Pacifica: Various Streets Pavement Rehabilitation	Pacifica	\$671,000
Pacifica: Palmetto Sidewalk Improvements	Pacifica	\$330,000
Portola Valley: Various Streets Resurfacing	Portola Valley	\$201,000
Redwood City: Twin Dolphin Parkway Overlay	Redwood City	\$1,266,000
Redwood City: US 101/Woodside Rd Class I Bikeway	Redwood City	\$948,000
San Bruno: Huntington Transit Corridor Bicycle/Pedestrian and Related Imps	San Bruno	\$914,000
San Bruno: Various Streets Pavement Rehabilitation	San Bruno	\$673,000
San Carlos: Cedar and Brittan Ave Pavement Rehabilitation	San Carlos	\$575,000

**Attachment B-2**  
**MTC Resolution No. 4202**  
**OBAG 2 County Programs**  
**FY 2017-18 through FY 2021-22**  
**September 2020**

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**OBAG 2 County Programs Project List**

<b>PROJECT CATEGORY AND TITLE</b>	<b>SPONSOR</b>	<b>OBAG 2 STP/CMAQ</b>
<b>OBAG 2 COUNTY PROGRAMS</b>		<b>\$387,512,000</b>
San Carlos: Ped Enhancements Arroyo/Cedar and Hemlock/Orange	San Carlos	\$500,000
San Carlos: US 101/Holly Street Bike/Ped Overcrossing	San Carlos	\$1,000,000
San Mateo: Various Streets Pavement Rehabilitation	San Mateo	\$1,593,000
San Mateo: Laurie Meadows Ped/Bike Safety Improvements	San Mateo	\$987,000
San Mateo County: Canada Rd and Edgewood Rd Resurfacing	San Mateo County	\$892,000
San Mateo County: Countywide Pavement Maintenance	San Mateo County	\$1,072,000
South San Francisco: Various Streets Pavement Rehabilitation	South San Francisco	\$1,027,000
South San Francisco: Grand Boulevard Initiative Complete Street Imps	South San Francisco	\$1,000,000
Woodside: Various Streets Pavement Rehabilitation	Woodside	\$242,000
Woodside: Woodside Pathway Phase 3	Woodside	\$136,000
<b>SAN MATEO COUNTY</b>	<b>TOTAL:</b>	<b>\$32,545,000</b>
<b>SANTA CLARA COUNTY</b>		
<b>CMA Planning Activities</b>		
Planning Activities Base	VTA	\$6,078,000
Planning Activities - Supplemental	VTA	\$4,822,000
<b>Federal Aid Secondary (FAS)</b>		
Santa Clara County: Uvas Rd Rehabilitation	Santa Clara County	\$1,701,000
<b>Safe Routes To School (SRTS)</b>		
Campbell: Eden Ave Sidewalk Improvements	Campbell	\$555,000
Cupertino: McClellan Rd Separated Bike Lane	Cupertino	\$1,000,000
Palo Alto: Waverley Multi-Use Path, E. Meadow Dr. & Fabian Wy. Enhanced Bike	Palo Alto	\$919,000
San Jose: Mount Pleasant Schools Area Pedestrian & Bicycle Safety Imps.	San Jose	\$1,000,000
Santa Clara: Santa Clara Schools Access Improvements	Santa Clara	\$1,146,000
Santa Clara: Saratoga Creek Trail Phase 1	Santa Clara	\$339,000
Sunnyvale: Homestead Rd at Homestead High School Ped & Bike Imps.	Sunnyvale	\$1,000,000
Sunnyvale: Pedestrian and Bicyclist Infrastructure Improvements	Sunnyvale	\$919,000
<b>County Program</b>		
Campbell: Winchester Boulevard Overlay	Campbell	\$554,000
Campbell: Harriet Ave Sidewalk Project	Campbell	\$405,900
Cupertino: Pavement Management Program	Cupertino	\$769,000
Gilroy: Downtown Monterey St Rehabilitation	Gilroy	\$1,028,000
Los Altos: Fremont Ave Asphalt Concrete Overlay	Los Altos	\$336,000
Los Gatos: Los Gatos Creek Trail to Highway 9 Trailhead Connection	Los Gatos	\$343,000
Los Gatos: Shannon Rd Complete Streets	Los Gatos	\$940,100
Milpitas: Various Streets Resurfacing	Milpitas	\$1,609,000
Morgan Hill: East Dunne Ave Pavement Rehabilitation	Morgan Hill	\$857,000
Mountain View: West Middlefield Road Improvements	Mountain View	\$1,136,000
Palo Alto: Adobe Creek/Highway 101 Bicycle Pedestrian Bridge	Palo Alto	\$4,350,000
Palo Alto: El Camino Real Pedestrian Safety & Streetscape Improvements	Palo Alto	\$4,655,000
Palo Alto: North Ventura Coordinated Area Plan	Palo Alto	\$638,000
Palo Alto: Various Streets Resurfacing	Palo Alto	\$1,009,000
San Jose: Downtown San Jose Mobility, Streetscape, and Public Life Plan	San Jose	\$813,000
San Jose: East Side Alum Rock (east of 680) Urban Village Plan	San Jose	\$400,000
San Jose: McKee Road Vision Zero Priority Safety Corridor Improvements	San Jose	\$8,623,000
San Jose: Various Streets Pavement Rehabilitation	San Jose	\$14,597,000
San Jose: Tully Road Vision Zero Priority Safety Corridor Improvements	San Jose	\$8,599,000
San Jose: West San Carlos Urban Village Streetscape Improvements	San Jose	\$3,582,000
Santa Clara: Hetch-Hetchy Trail Phase 1	Santa Clara	\$790,000
Santa Clara: San Tomas Aquino Creek Trail Underpass	Santa Clara	\$2,449,000
Santa Clara: Saratoga Creek Trail Phase 1	Santa Clara	\$3,396,000
Santa Clara: Streets & Roads Preservation	Santa Clara	\$2,356,000

**Attachment B-2**  
**MTC Resolution No. 4202**  
**OBAG 2 County Programs**  
**FY 2017-18 through FY 2021-22**  
**September 2020**

MTC Res. No. 4202 Attachment B-2  
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 02/26/20-C 09/23/20-C

**OBAG 2 County Programs Project List**

PROJECT CATEGORY AND TITLE	SPONSOR	OBAG 2 STP/CMAQ
<b>OBAG 2 COUNTY PROGRAMS</b>		<b>\$387,512,000</b>
Santa Clara County: Capitol Expressway Rehabilitation	Santa Clara County	\$5,000,000
Santa Clara County: McKean Rd Pavement Rehabilitation	Santa Clara County	\$1,151,000
Saratoga: Prospect Rd Complete Streets	Saratoga	\$1,075,000
Saratoga: Saratoga Village Crosswalks & Sidewalks Rehabilitation	Saratoga	\$338,000
Sunnyvale: Bernardo Avenue Bicycle Underpass - EIR	Sunnyvale	\$500,000
Sunnyvale: East Sunnyvale Area Sense of Place Improvements	Sunnyvale	\$1,701,000
Sunnyvale: Fair Oaks Avenue Bikeway - Phase 2	Sunnyvale	\$782,000
Sunnyvale: Java Drive Road Diet & Bike Lanes	Sunnyvale	\$500,000
Sunnyvale: Lawrence Station Area Sidewalks & Bike Facilities	Sunnyvale	\$500,000
Sunnyvale: Peery Park Sense of Place Improvements	Sunnyvale	\$2,686,000
Sunnyvale: Traffic Signal Upgrades	Sunnyvale	\$2,566,000
VTA/Milpitas: Montague Exwy Pedestrian Overcrossing at Milpitas BART	VTA/Milpitas	\$3,560,000
<b>SANTA CLARA COUNTY</b>		<b>TOTAL: \$104,073,000</b>
<b>SOLANO COUNTY</b>		
CMA Planning Activities		
Planning Activities Base	STA	\$3,822,000
Planning Activities - Supplemental	STA	\$3,039,000
Federal Aid Secondary (FAS)		
Solano County: County Roads Paving	Solano County	\$506,000
Solano County: Farm to Market Phase 2 Imps	Solano County	\$1,000,000
Safe Routes To School (SRTS)		
Fairfield: Grange Middle School SRTS Imps	Fairfield	\$260,000
STA: Countywide SRTS Non-Infrastructure Program	STA	\$1,209,000
County Program		
Benicia: Park Rd Improvements	Benicia	\$2,731,000
<b>Fairfield: Cadenasso Dr Repaving Heart of Fairfield Improvements</b>	Fairfield	\$1,394,000
Suisun City: Railroad Ave Repaving	Suisun City	\$491,000
STA: Vacaville Jepson Parkway Phase 3 Bike Path	STA	\$1,407,000
STA: Solano Mobility Call Center	STA	\$1,537,000
Vacaville: VacaValley/I-505 Roundabouts	Vacaville	\$1,907,000
Vacaville: Local Streets Overlay	Vacaville	\$1,193,000
Vallejo: Sacramento St Rehabilitation	Vallejo	\$681,000
<b>SOLANO COUNTY</b>		<b>TOTAL: \$21,177,000</b>
<b>SONOMA COUNTY</b>		
CMA Planning Activities		
Planning Activities Base	SCTA	\$3,822,000
Planning Activities - Supplemental	SCTA	\$1,178,000
Federal Aid Secondary (FAS)		
Sonoma County: River Road Pavement Rehabilitation	Sonoma County	\$3,264,000
Safe Routes To School (SRTS)		
SCTA: Sonoma County Safe Routes To School (SRTS)	SCTA	\$1,655,000
County Program		
Cotati: E. Cotati Avenue Street Rehabilitation	Cotati	\$675,000
Healdsburg: Healdsburg Avenue Road Diet	Healdsburg	\$600,000
Petaluma: Petaluma Boulevard South Road Diet	Petaluma	\$2,916,000
SMART: Petaluma SMART Pathway	SMART	\$400,000
Rohnert Park: Various Streets Rehabilitation	Rohnert Park	\$1,035,000
Santa Rosa: US 101 Bicycle and Pedestrian Bridge Overcrossing	Santa Rosa	\$1,418,000
Santa Rosa: Various Streets Rehabilitation	Santa Rosa	\$1,655,000
Sebastopol: Bodega Avenue Bike Lanes and Pavement Rehabilitation	Sebastopol	\$1,195,000
Sonoma (City) : New Fryer Creek Bicycle and Pedestrian Bridge	Sonoma (City)	\$501,000

**Attachment B-2**  
**MTC Resolution No. 4202**  
**OBAG 2 County Programs**  
**FY 2017-18 through FY 2021-22**  
**September 2020**

MTC Res. No. 4202 Attachment B-2  
 Adopted: 11/18/15-C  
 Revised: 07/27/16-C 12/21/16-C 04/26/17-C 06/28/17-C 11/15/17-C  
 12/20/17-C 02/28/18-C 05/23/18-C 06/27/18-C 09/26/18-C  
 12/19/18-C 01/23/19-C 06/26/19-C 09/25/19-C 11/20/19-C  
 02/26/20-C 09/23/20-C

**OBAG 2 County Programs Project List**

<b>PROJECT CATEGORY AND TITLE</b>	<b>SPONSOR</b>	<b>OBAG 2 STP/CMAQ</b>
<b>OBAG 2 COUNTY PROGRAMS</b>		<b>\$387,512,000</b>
Sonoma County: Various County Roads Rehabilitation	Sonoma County	\$2,600,000
Sonoma County: New Crocker Bridge Bike and Pedestrian Passage	Sonoma County	\$1,809,000
Windsor: Windsor River Road at Windsor Road Intersection Imps	Windsor	\$3,000,000
<b>SONOMA COUNTY</b>		<b>TOTAL: \$27,723,000</b>
<b>OBAG 2 COUNTY PROGRAMS</b>		<b>TOTAL: \$387,512,000</b>



# APPENDIX A – 16

## *Regional Policies: Project Funding and Specific Funding Programs*

**Policies, Procedures, Project Selection Criteria and  
Program of Projects for the 2020 Regional  
Transportation Improvement Program (RTIP)  
for the San Francisco Bay Area  
MTC Resolution No. 4398**



Date: September 25, 2019  
W.I.: 1515  
Referred by: PAC  
Revised: 12/18/19-C

ABSTRACT

Resolution No. 4398, Revised

This resolution adopts the policies, procedures, and program of projects for the 2020 Regional Transportation Improvement Program (RTIP) for the San Francisco Bay Area, for submission to the California Transportation Commission (CTC), consistent with the provisions of Senate Bill 45 (Chapter 622, Statutes 1997).

- Attachment A – Policies and Procedures for the 2020 RTIP (with appendices)
- Attachment B – 2020 RTIP Program of Projects
- Attachment C – STIP Amendment / Extension Rules and Procedures

This resolution was amended by Commission Action on December 18, 2019 to adopt Attachment B – 2020 RTIP Program of Projects.

Further discussion of these actions is contained in the Summary Sheet to the MTC Programming and Allocations Committee dated September 4, 2019 and December 11, 2019.

Date: September 25, 2019  
W.I.: 1515  
Referred by: PAC

RE: Adoption of 2020 Regional Transportation Improvement Program (RTIP)  
Program Policies, Procedures, Project Selection Criteria, and Program of Projects

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4398

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 *et seq.*; and

WHEREAS, MTC has adopted and periodically revises, pursuant to Government Code Sections 66508 and 65080, a Regional Transportation Plan (RTP); and

WHEREAS, MTC shares responsibility with the Association of Bay Area Governments (ABAG) for developing and implementing a Sustainable Communities Strategy (SCS) that integrates transportation, land use, and housing to meet greenhouse gas (GHG) reduction goals (Government Code Section 65080(b) 2(B)).

WHEREAS, MTC adopts, pursuant to Government Code Section 65082, a Regional Transportation Improvement Program (RTIP) when additional State Transportation Improvement Program funding is available, that is submitted, pursuant to Government Code Section 14527, to the California Transportation Commission (CTC) and the California Department of Transportation (Caltrans); and

WHEREAS, MTC has developed, in cooperation with Caltrans, operators of publicly owned mass transportation services, congestion management agencies, countywide transportation planning agencies, and local governments, policies, procedures and project selection criteria to be used in the development of the 2020 RTIP, and a five-year program for the funding made available for highways, roadways and state-funded mass transit guideways and other transit capital improvement projects, to include projects programmed in fiscal years 2020-21 through 2024-25; and

Date: September 25, 2019  
W.I.: 1515  
Referred by: PAC

RE: Adoption of 2020 Regional Transportation Improvement Program (RTIP)  
Program Policies, Procedures, Project Selection Criteria, and Program of Projects

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4398

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 *et seq.*; and

WHEREAS, MTC has adopted and periodically revises, pursuant to Government Code Sections 66508 and 65080, a Regional Transportation Plan (RTP); and

WHEREAS, MTC shares responsibility with the Association of Bay Area Governments (ABAG) for developing and implementing a Sustainable Communities Strategy (SCS) that integrates transportation, land use, and housing to meet greenhouse gas (GHG) reduction goals (Government Code Section 65080(b) 2(B)).

WHEREAS, MTC adopts, pursuant to Government Code Section 65082, a Regional Transportation Improvement Program (RTIP) when additional State Transportation Improvement Program funding is available, that is submitted, pursuant to Government Code Section 14527, to the California Transportation Commission (CTC) and the California Department of Transportation (Caltrans); and

WHEREAS, MTC has developed, in cooperation with Caltrans, operators of publicly owned mass transportation services, congestion management agencies, countywide transportation planning agencies, and local governments, policies, procedures and project selection criteria to be used in the development of the 2020 RTIP, and a five-year program for the funding made available for highways, roadways and state-funded mass transit guideways and other transit capital improvement projects, to include projects programmed in fiscal years 2020-21 through 2024-25; and

WHEREAS, using the process and criteria set forth in the Attachments to this resolution, attached hereto as though set forth at length, a set of capital priorities for the 2020 Regional Transportation Improvement Program (RTIP) was developed; and

WHEREAS, the 2020 RTIP has been developed consistent with the policies and procedures outlined in this resolution, and with the STIP Guidelines adopted by the CTC on August 14, 2019; and

WHEREAS, the 2020 RTIP will be subject to public review and comment; now, therefore, be it

RESOLVED, that MTC approves the process and criteria to be used in the evaluation of candidate projects for inclusion in the 2020 RTIP, as set forth in Attachment A of this resolution, and be it further

RESOLVED, that MTC adopts the 2020 RTIP Program of Projects, attached hereto as Attachment B and incorporated herein as though set forth at length, and finds it consistent with the RTP; and, be it further


RESOLVED, that MTC approves the STIP Amendment / Extension Rules and Procedures to be used in processing STIP amendment and extension requests, as set forth in Attachment C of this resolution, and be it further

RESOLVED, that the Executive Director may make adjustments to Attachment B in consultation with the respective Congestion Management Agency (CMA) or County Transportation Planning Agency, Collectively known as the Bay Area County Transportation Agencies (CTAs), to respond to direction from the California Transportation Commission and/or the California Department of Transportation; and, be it further

RESOLVED, that MTC's adoption of the programs and projects in the 2020 RTIP is for planning purposes only, with each project still subject to MTC's project review and application approval pursuant to MTC Resolution Nos. 3115 and 3757; and, be it further

RESOLVED, that the Executive Director shall forward a copy of this resolution, and such other information as may be required to the CTC, Caltrans, and to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Scott Haggerty, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in San Francisco, California, on September 25, 2019.

Date: September 25, 2019  
W.I.: 1515  
Referred by: PAC

Attachment A  
Resolution No. 4398  
Page 1 of 30

**2020  
Regional Transportation Improvement Program**

**Policies and Procedures  
September 25, 2019**

**MTC Resolution No. 4398  
Attachment A**

**Metropolitan Transportation Commission  
Programming and Allocations Section  
<http://www.mtc.ca.gov/our-work/fund-invest>**

**2020 RTIP  
Regional Transportation Improvement Program  
Policies and Procedures  
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## **2020 Regional Transportation Improvement Program (RTIP) Policies and Procedures**

### **Background**

The State Transportation Improvement Program (STIP) provides funding for transportation projects around the State. As the Regional Transportation Planning Agency (RTPA) for the Bay Area, the Metropolitan Transportation Commission (MTC) is responsible for developing regional STIP project priorities for the nine counties of the Bay Area.

The Regional Transportation Improvement Program (RTIP) is the region's proposal to the State for STIP funding, and is due to the California Transportation Commission (CTC) by December 15, 2019. The 2020 STIP will include programming for the five fiscal years from 2020-21 through 2024-25.

### **2020 RTIP Development**

The following principles will frame the development of MTC's 2020 RTIP, the region's contribution to the 2020 STIP.

- MTC will work with CTC staff, each Congestion Management Agency and Countywide Transportation Planning Agency, collectively known as the Bay Area County Transportation Agencies (CTAs), transit operators, Caltrans, and project sponsors to prepare the 2020 STIP.
- Investments made in the RTIP must carry out the objectives of the Regional Transportation Plan (RTP)/Sustainable Communities Strategy (SCS), and be consistent with its improvements and programs.
- MTC may choose to consult with counties to consider programming a portion of their RTIP shares for projects that meet a regional objective.
- MTC will continue to work with CTAs, transit operators, Caltrans and project sponsors to aggressively seek project delivery solutions. Through the use of AB 3090 authority, GARVEE financing, and federal, regional, and local funds and funding exchanges, MTC will work with its transportation partners to deliver projects in the region.
- Each county's project list must be constrained within the county share limits unless arrangements have been made with other counties to aggregate the county share targets. MTC continues to support aggregation of county share targets to deliver ready-to-go projects in the region. CTAs that submit a list that exceeds their county share must identify and prioritize those projects that exceed the county share target.

### **Key Policies and Guidance**

The following policies serve as the primary guidance in the development of the 2020 RTIP.

#### **Key Eligibility Policies**

##### **Consistency with Regional and Local Plans**

###### **RTP/SCS Consistency**

*Plan Bay Area 2040*, the Regional Transportation Plan (RTP)/Sustainable Communities Strategy (SCS), lays out a vision of what the Bay Area land use patterns and transportation network could look like in 2040. An objective of *Plan Bay Area 2040* is to encourage and promote the safe and efficient management, operation and development of a regional intermodal transportation system

that will serve the mobility needs of people and goods. Programming policies governing the STIP and other flexible, multi-modal discretionary funding sources such as the federal Surface Transportation Block Grant Program (STBG), Congestion Mitigation and Air Quality Improvement (CMAQ), and Regional Transportation Improvement Program (RTIP) funds must be responsive to the strategies and goals of the Plan. New projects submitted for RTIP consideration must be included in the current RTP and should include a statement addressing how the project meets the strategies and goals set forth in the RTP.

### **Local Plans**

Projects included in the RTIP must be included in a Congestion Management Plan (CMP) or Capital Improvement Program (CIP).

### **CTC Guidance**

The California Transportation Commission (CTC) 2020 STIP Guidelines were adopted on August 14, 2019. The MTC 2020 RTIP Policies and Procedures includes all changes in STIP policy implemented by the CTC. The entire CTC STIP Guidelines are available on the internet at: <https://dot.ca.gov/programs/transportation-programming/office-of-capital-improvement-programming-ocip> or <https://catc.ca.gov/programs/state-transportation-improvement-program>. All CTAs and project sponsors must follow the MTC and CTC STIP Guidelines in the development and implementation of the 2020 RTIP/STIP.

### **2020 RTIP Development Schedule**

Development of the 2020 RTIP under these procedures will be done in accordance with the schedule outlined in Appendix A-1 of these policies and procedures.

### **RTIP County Share Targets**

Appendix A-2 of the Policies and Procedures provides the county share targets for each county for the 2020 RTIP. Each county's project list, due to MTC in draft form by October 9, 2019, should be constrained within these county share limits. It is expected that MTC's RTIP will be developed using a region-wide aggregate of county-share targets.

### **Project Eligibility**

SB 45 (Chapter 622, Statutes 1997) defines the range of projects that are eligible for consideration in the RTIP. Eligible projects include state highway improvements, local road improvements and rehabilitation, public transit, intercity rail, pedestrian, and bicycle facilities, and grade separation, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety projects.

### **RTIP Project Solicitation**

Each CTA is responsible for soliciting projects for its county share of the RTIP where the county target is greater than \$0. The CTA must notify all eligible project sponsors, including Caltrans and transit operators, of the process and deadlines for applying for RTIP funding. If the CTA does not conduct a solicitation of projects, that CTA must provide justification to MTC that conforms to the

public involvement process described in the next section, and approved by that CTA's governing body.

### **Public Involvement Process**

MTC is committed to having the CTAs as full partners in development of the RTIP. That participation likewise requires the full commitment of the CTAs to a broad, inclusive public involvement process consistent with MTC's adopted Public Participation Plan (available online at <http://mtc.ca.gov/about-mtc/public-participation/public-participation-plan>) and federal regulations, including Title VI of the Federal Civil Rights Act of 1964. Federal regulations call for active outreach and public comment opportunities in any metropolitan planning process, and such opportunities an important step to any project selection process for the RTIP. CTAs shall document their public involvement opportunities, including how they included communities covered under Title VI, and submit the documentation along with their list of candidate projects.

### **RTIP Projects in the Transportation Improvement Program (TIP)**

In accordance with state and federal requirements, RTIP-funded projects must be programmed in the TIP prior to seeking a CTC allocation. In addition, a federal authorization to proceed (E-76) request must be submitted simultaneously with the RTIP allocation request to Caltrans and the CTC when the request includes federal funds. In the 2020 RTIP, all projects are subject to be a mix of federal and state funds, and may require a federal authorization to proceed. Additionally, all STIP projects are to be included in the TIP and must have funds escalated to the year of expenditure, in accordance with federal regulations.

## **Regional Policies**

### **Regional Set-Aside Programming**

In order to expedite obligation and expenditure of American Recovery and Reinvestment Act of 2009 (ARRA) funds, and to address the State's lack of funding at the time, MTC programmed \$31 million in ARRA funds to backfill unavailable STIP funds for the Caldecott Tunnel Fourth Bore project. Of the \$31 million, \$29 million came from Contra Costa's STIP county share, and \$2 million from Alameda's STIP county share. Further, in 2012, MTC programmed \$15 million to the Improved Bicycle/Pedestrian Access to the San Francisco-Oakland Bay Bridge project from a portion of each county's STIP share (from former Transportation Enhancement (TE) funds). To address lack of funding in the 2016 STIP, MTC de-programmed both the \$31 million and \$15 million commitments to regional projects (total \$46 million). In January 2017 MTC committed the \$46 million to additional contingency for the Caltrain Peninsula Corridor Electrification Project (PCEP), through MTC Resolution No. 4267. If these funds are not needed for the PCEP, the RTIP funds will be re-programmed the Housing Production and Preservation Incentive Program (see next section), or to another regional priority project(s) at MTC's discretion. These funds have the highest priority for funding in the RTIP, after GARVEE, AB 3090, and PPM projects.

### **Housing Production and Preservation Incentive**

On October 24, 2018, MTC approved Resolution No. 4348, which establishes the framework and qualifying criteria for the Housing Incentive Pool (HIP), an incentive program to reward Bay Area

local jurisdictions that produce or preserve the most affordable housing. This resolution builds on the HIP established in OBAG 2, MTC Resolution No. 4202, Revised.

As part of the 2020 RTIP, the OBAG 2 Housing Production Incentive challenge grant program described immediately above is augmented with \$46 million of regionally-controlled RTIP funds identified in the regional set-aside programming section above, conditioned on these funds not being needed for Caltrain's project contingency, either because the project can be completed within budget or because substitute contingency funds are identified.

The RTIP funding provided may be either federal or state funds, must be used only for federally- or State Highway Account-eligible transportation purposes, and must meet CTC STIP Guideline requirements.

### **Senate Bill 1 Competitive Programs Match**

CTC's 2020 STIP guidelines allow sponsors to match SB1 competitive program projects with STIP funds. If the CTC does not select a project for funding in a competitive SB1 program, and alternative funding is not identified within six months, a STIP amendment will be required to delete or substitute the project for a project with a full funding plan commitment. MTC strongly encourages sponsors to use RTIP funds to match SB1 competitive program applications and will require match come from RTIP before committing other regional discretionary funding. If a county's RTIP shares are pre-committed or otherwise unavailable, MTC expects the CTA to examine local funds as match before MTC will consider committing other regional discretionary funding.

### **County Programming Priorities**

#### *Alameda County*

Alameda County Transportation Commission (ACTC) Resolution No. 14-007 (Revised) identifies RTIP funds as a source to meet ACTC's \$40 million commitment to AC Transit's East Bay Bus Rapid Transit (BRT) project. Further, Commission action for the Regional Measure 2 (RM2) Strategic Plan in May 2014, and the March 2015 RM2 allocation to AC Transit for the BRT project require that ACTC commit the RTIP or other funds for the BRT project in order to retire the BRT commitment. Since the CTC removed the proposed AC Transit programming from the 2018 STIP, MTC expects ACTC to program its remaining commitment to AC Transit in the 2020 STIP, and reserves the right to program funds directly from Alameda County's STIP share if no other fund source is identified.

#### *San Francisco County*

MTC Resolution No. 4035, Revised, which sets forth the second cycle of federal Surface Transportation Program/Congestion Mitigation and Air Quality Improvement (STP/CMAQ) funding, advanced \$34 million in federal funds for the Doyle Drive Replacement / Presidio Parkway project. In exchange, \$34 million San Francisco's STIP share shall be reserved for regional Freeway Performance Initiative (FPI)/Columbus Day Initiative (CDI)/Express Lanes projects. San Francisco shall commit these funds after PPM programming and the remaining commitment to the Central Subway project (about \$40.7 million).

*San Francisco, San Mateo, and Santa Clara Counties*

MTC Resolution No. 4267 identifies RTIP funds as a source to meet MTC's \$50 million contingency commitment to the Caltrain Peninsula Corridor Electrification Project, with the \$46 million identified in the "Regional Set-Aside Programming" section of these policies and procedures. If the PCEP cost exceeds the estimated project delivery cost and previously budgeted contingency, or a shortfall in revenue occurs, \$4 million would be reserved from future San Francisco, San Mateo, and Santa Clara county shares. If the \$50 million contingency commitment is not needed for PCEP, MTC will not withhold the \$4 million from the three counties' RTIP shares.

**Regional Advanced Mitigation Program (RAMP)**

As a part of *Plan Bay Area 2040* and through MTC Resolution No. 4290, MTC identified Regional Advance Mitigation Program (RAMP) as a mitigation strategy for the Bay Area. RAMP would mitigate certain environmental impacts from groups of planned transportation projects, rather than mitigating on an inefficient per-project level. RTIP funds may be used to implement RAMP, including purchasing mitigation land bank credits, establishing a greenfield mitigation site, contributing to an existing Habitat Conservation Plan, and purchasing conservation land easements and their endowments, as allowed under state and federal law. In instances where RTIP funds are not eligible for RAMP implementation, MTC encourages sponsors to exchange RTIP funds with eligible non-federal funds for RAMP. Such exchanges must be consistent with MTC's fund exchange policy, MTC Resolution No. 3331.

**Regional Planning, Programming, and Monitoring (PPM) funds**

Passage of Assembly Bill 2538 (Wolk, 2006) allows all counties to program up to 5% of their county share to Planning, Programming, and Monitoring (PPM) purposes in the STIP. Appendix A-2 identifies PPM amounts each county may program. As agreed with the CTAs, MTC will program a portion of each county's PPM for regional PPM activities each year beginning with a base amount of \$500,000 in FY 2005-06 escalated 3.5% annually thereafter. MTC's currently programmed amounts for regional PPM activities in FY 2020-21 through FY 2022-23 will not change in the 2020 RTIP; the CTAs may choose to redistribute their county portion of the PPM funds programmed in FY 2020-21, FY 2021-22, FY 2022-23, and FY 2023-24. Due to county share period restrictions, new PPM amounts may only be programmed in the amounts and years identified in Attachment 2.

**Caltrans Project Nomination**

Senate Bill 1768 (Chapter 472, Statutes 2002) authorizes the Department of Transportation to nominate or recommend projects to be included in the RTIP to improve state highways using regional transportation improvement funds. To be considered for funding in the RTIP, the Department must submit project nominations directly to the applicable CTA. The Department should also identify any additional state highway improvement needs within the county that could be programmed within the 3 years beyond the end of the current STIP period. The Department must submit these programming recommendations and identification of state highway improvement needs to the CTA within the timeframe and deadline prescribed by the applicable CTA. In addition, the Department must also provide a list of projects and funding amounts for projects currently planned on the State Highway System over the 2020 STIP period to be funded with local and regional funds.

### **Title VI Compliance**

Investments made in the RTIP must be consistent with federal Title VI requirements. Title VI prohibits discrimination on the basis of race, color, disability, and national origin in programs and activities receiving federal financial assistance. Public outreach to and involvement of individuals in low income and minority communities covered under Title VI of the Civil Rights Act and the Executive Order pertaining to Environmental Justice is critical to both local and regional decisions. The CTA must consider equitable solicitation and selection of project candidates in accordance with federal Title VI and Environmental Justice requirements.

### **Intelligent Transportation Systems Policy**

In collaboration with federal, state, and local partners, MTC developed the regional Intelligent Transportation Systems (ITS) Architecture. The San Francisco Bay Area Regional ITS Architecture is a roadmap for integrated and collaborative ITS projects in the Bay Area over the next 10 years and beyond. The Architecture provides the knowledge base necessary to make the most out of technological advances for planning and deployment of intelligent transportation systems that are connected and standardized across the region and beyond.

MTC, state and federal agencies require projects funded with federal highway trust funds to meet applicable ITS Architecture requirements. Since the 2006 RTIP, MTC requires all applicable projects to conform to the regional ITS architecture. Through the on-line Fund Management System (FMS) application process, 2020 RTIP project sponsors will identify the appropriate ITS category, if applicable. Information on the regional ITS architecture can be found at: <http://mtc.ca.gov/our-work/operate-coordinate/intelligent-transportation-systems-its>.

### **MTC Resolution No. 4104 Compliance – Traffic Operations System Policy**

All major new freeway projects included in *Plan Bay Area 2040* and subsequent regional transportation plans shall include the installation and activation of freeway traffic operations system (TOS) elements to effectively operate the region's freeway system and coordinate with local transportation management systems. MTC requires all applicable RTIP projects to conform to the regional policy. For purposes of this policy, a major freeway project is a project that adds lanes to a freeway, constructs a new segment of freeway, upgrades a segment to freeway status, modifies a freeway interchange, modifies freeway ramps, or reconstructs an existing freeway. TOS elements may include, but are not limited to, changeable message signs, closed-circuit television cameras, traffic monitoring stations and detectors, highway advisory radio, and ramp meters.

As set forth in MTC Resolution No. 4104, for any jurisdiction in which MTC finds that ramp metering and TOS elements are installed but not activated or in operation, MTC will consider suspending fund programming actions for STIP funding until the Ramp Metering Plan is implemented and the ramp meters and related TOS elements are activated and remain operational, and MTC deems the requirements of the regional TOS policy have been met. Furthermore, in any county in which a jurisdiction fails to include the installation and activation of TOS elements in an applicable freeway project, including ramp metering as identified in the Ramp Metering Plan, projects to install and activate the appropriate ramp meters and TOS elements omitted from the project shall have priority for programming of new STIP funding for that county. STIP projects that

do not meet the provisions of MTC Resolution No. 4104 are subject to de-programming from the federal TIP.

### **Regional Communications Infrastructure**

MTC Resolution No. 4104, Traffic Operations System Policy, requires the installation and activation of freeway traffic operations system elements. In order to facilitate implementation of technology-based strategies focused on enhancing safety, mobility and economic vitality of communities, and to expand interoperability among partner agencies, projects must install fiber communications conduit infrastructure if project limits overlap with a proposed project in the final 2019 Regional Communications Strategic Investment Plan, when both financially feasible and consistent with goals stated in the Bay Area Regional Communications Infrastructure Plan.

Projects proposed for programming in the 2020 RTIP, seeking funds for environmental or plans, specifications, and estimates (PS&E) phases should consider incorporating communications infrastructure into project design, ideally at the project scoping phase leading to programming. A checklist of technical recommendations are listed in the final 2019 Regional Communications Infrastructure Plan (available at the MTC website at <https://mtc.ca.gov/our-work/operate-coordinate/intelligent-transportation-systems/regional-communications-network>). For future RTIP funding commitments on new projects, projects sponsors should work with Caltrans and MTC to identify the appropriate communications component to support the completion of regional communications network throughout the Bay Area. A project is considered “new” if it does not have an approved Project Study Report or applicable scoping document as of December 15, 2019.

### **Bay Area Forward and Regional Express Lane (HOT) Network**

All projects on the state highway system must demonstrate a scope and funding plan that includes Traffic Operations System (TOS) elements, consistent with the section above. Projects must also include any additional traffic operations and advanced technology improvements, and transportation demand management recommendations resulting from MTC’s Bay Area Forward (BAF). Additionally, projects on the State Highway System proposed for programming in the 2020 RTIP should be consistent with the planned Regional Express Lane (High-Occupancy Toll) Network. For new RTIP funding commitments on the Regional Express Lane Network, the CTAs should work with MTC to determine the appropriateness of advance construction elements (such as structures and conduit) to support the future conversion of general purpose/HOV lanes to express lanes if identified.

### **Bay Area Interregional Transportation Improvement Program (ITIP) Priorities**

In order to support Caltrans District 4 in successfully programming ITIP projects in the Bay Area, MTC worked with the CTAs and District to formulate four guiding principles for prioritizing ITIP projects. The principles are:

- Support high cost-benefit ratio projects on the State Highway System
- Support High-Occupancy Vehicle (HOV) lane gap closures, with emphasis on those that support the Regional Express Lane Network.
- Support high speed rail early investments and intercity/commuter rail



- Support future goods movement and trade corridors

These principles are consistent with *Plan Bay Area 2040* assumptions. MTC supported these principles in a comment letter to Caltrans regarding the 2015 Interregional Transportation Strategic Plan (ITSP).

#### **MTC Resolution No. 3866 Compliance – Transit Coordination Implementation Plan**

On February 24, 2010, MTC approved Resolution No. 3866, which documents coordination requirements for Bay Area transit operators to improve the transit customer experience when transferring between transit operators and in support of regional transit projects. *If a transit operator fails to comply with Res. 3866 requirements, MTC may withhold, restrict or reprogram funds or allocations.* Res. 3866 supersedes MTC’s earlier coordination plan, Res. 3055.

One goal in establishing Res. 3866 was to incorporate detailed project information through reference rather than directly in the resolution in order to facilitate future updates of project-specific requirements. Transit operators must comply with these more detailed documents in order to comply with Res. 3866. MTC may periodically update these documents in consultation with transit agencies.

#### **Accommodations for Bicyclists, Pedestrians and Persons with Disabilities**

Federal, state and regional policies and directives emphasize the accommodation of bicyclists, pedestrians, and persons with disabilities when designing transportation facilities. Of particular note is Caltrans Deputy Directive 64 which stipulates: “pedestrians, bicyclists and persons with disabilities must be considered in all programming, planning, maintenance, construction, operations, and project development activities and products.” In addition, MTC’s Resolution No. 3765 requires project sponsors to complete a checklist that considers the needs of bicycles and pedestrians for applicable projects. MTC’s Regional Bicycle Plan, adopted as a component of the 2001 RTP, requires that “all regionally funded projects consider enhancement of bicycle transportation consistent with Deputy Directive 64”.

In selecting projects for inclusion in the RTIP, the CTAs and project sponsors must consider federal, state and regional policies and directives regarding non-motorized travel, including, but limited to, the following:

##### **Federal Policy Mandates**

The Federal Highways Administration Program Guidance on bicycle and pedestrian issues makes a number of clear statements of intent, and provides best practices concepts as outlined in the US DOT “Policy Statement on Bicycle and Pedestrian Accommodation Regulations and Recommendations.”

([https://www.fhwa.dot.gov/environment/bicycle\\_pedestrian/guidance/policy\\_accom.cfm](https://www.fhwa.dot.gov/environment/bicycle_pedestrian/guidance/policy_accom.cfm))

##### **State Policy Mandates**

The California Complete Streets Act (AB 1358) of 2008 encourages cities to make the most efficient use of urban land and transportation infrastructure, and improve public health by encouraging physical activity to reduce vehicle miles traveled (VMT). Government Code Section

65302(b)(2)(A) and (B) states that any substantial revision of the circulation element of the General Plan to consider all users.

California Government Code Section 65089(b)(1)(B)(5) requires that the design, construction and implementation of roadway projects proposed for funding in the RTIP must consider maintaining bicycle access and safety at a level comparable to that which existed prior to the improvement or alteration.

Caltrans Deputy Directive 64, states: “the Department fully considers the needs of non-motorized travelers (including pedestrians, bicyclists, and persons with disabilities) in all programming, planning, maintenance, construction, operations, and project development activities and products. This includes incorporation of the best available standards in all of the Department’s practices. The Department adopts the best practices concept in the US DOT Policy Statement on Integrating Bicycling and Walking into Transportation Infrastructure.”

### **Regional Policy Mandates**

All projects programmed during the RTIP must consider the impact to bicycle transportation, pedestrians and persons with disabilities, consistent with MTC Resolution No. 3765. The Complete Streets Checklist (also known as “Routine Accommodations Checklist”) is incorporated as Part 5 of the Project Application. Furthermore, it is encouraged that all bicycle projects programmed in the RTIP support the Regional Bicycle Network. Guidance on considering bicycle transportation can be found in MTC’s 2009 Regional Bicycle Plan (a component of Transportation 2035) and Caltrans Deputy Directive 64. MTC’s Regional Bicycle Plan, containing federal, state and regional policies for accommodating bicycles and non-motorized travel, is available on MTC’s Web site at: <http://mtc.ca.gov/our-work/plans-projects/bicycle-pedestrian-planning>.

To be eligible for RTIP funds, a local jurisdiction with local streets and roads must have either a complete streets policy or resolution, or general plan updated after 2010, that complies with the Complete Streets Act of 2008 prior to January 31, 2016. Further information is available online at: [http://mtc.ca.gov/sites/default/files/OBAG\\_2\\_Reso\\_Guidance\\_Final.pdf](http://mtc.ca.gov/sites/default/files/OBAG_2_Reso_Guidance_Final.pdf).

### **State Policies**

#### **Grant Anticipation Revenue Vehicle (GARVEE) Bonding**

Chapter 862 of the Statutes of 1999 (SB 928) authorizes the State Treasurer to issue GARVEE bonds and authorizes the California Transportation Commission (CTC) to select projects for accelerated construction from bond proceeds. Bond repayment is made through annual set asides of the county share of future State Transportation Improvement Program (STIP) funds. Bond repayments are typically made over several STIP programming periods.

In accordance with state statute and the CTC GARVEE guidelines, GARVEE debt repayment will be the highest priority for programming and allocation within the particular county Regional Improvement Program (RIP) share until the debt is repaid. In the event that the RIP county share balance is insufficient to cover the GARVEE debt service and payment obligations, the RIP county

share balance for that particular county will become negative through the advancement of future RIP county share. Should a negative balance or advancement of capacity be unattainable, then funding for other projects using RIP county share within that particular county would need to be reprogrammed or deleted, to accommodate the GARVEE debt service and payment obligations.

The CTC is responsible for programming the funds, derived from federal sources, as GARVEE debt service and the State Treasurer is responsible for making the debt service payments for these projects. In the 2020 STIP, CTC will consider new GARVEE projects via STIP amendment only, and not during the 2020 STIP process.

#### **AB 3090 Project Replacement or Reimbursement**

AB 3090 (Statutes of 1992, Chapter 1243) allows a local jurisdiction to advance a project included in the STIP to an earlier fiscal year through the use of locally-controlled funds. With the concurrence of the appropriate CTA, MTC, the California Transportation Commission and Caltrans, one or more replacement state transportation project shall be identified and included in the STIP for an equivalent amount and in the originally scheduled fiscal year or a later year of the advanced project. Alternately, the advanced project can be reimbursed in the originally scheduled fiscal year or a later year.

Projects approved for AB 3090 consideration must award a contract within six months of the CTC approval. The allocation of AB 3090 reimbursement projects is the highest priority in the MTC region. In the 2020 STIP, CTC will consider new AB 3090 requests via STIP amendment only, and not during the 2020 STIP process. Sponsors wishing to use AB 3090s for their projects should contact MTC and CTC for inclusion in the AB 3090 Plan of Projects, which is updated on an as-needed basis.

#### **SB 184 Advance Expenditure of Funds**

SB 184 (Statutes of 2007, Chapter 462) authorizes a regional or local entity to expend its own funds for any component of a transportation project within its jurisdiction that is programmed in the current fiscal year and for which the Commission has not made an allocation. The amount expended would be authorized to be reimbursed by the state, subject to annual appropriation by the Legislature, if (1) the commission makes an allocation for, and the department executes a fund transfer agreement for, the project during the same fiscal year as when the regional or local expenditure was made; (2) expenditures made by the regional or local entity are eligible for reimbursement in accordance with state and federal laws and procedures; and (3) the regional or local entity complies with all legal requirements for the project, as specified.

MTC cautions against the use of SB 184 since allocation of funds is not guaranteed. If pursued, sponsors risk expending local funds with no guarantee that the STIP funds will be allocated.

Should a sponsor want to proceed with an SB 184 request, the sponsor must notify the CTA, MTC and Caltrans in writing on agency letterhead in accordance with Caltrans Local Assistance procedures.

### **AB 608 Contract Award Provisions**

AB 608 authorizes the adjustment by the CTC of a programmed project amount in the STIP if the Caltrans-sponsored construction contract award amount for a project is less than 80% of the engineer's final estimate, excluding construction engineering.

The CTC will not approve any AB 608 request after 120 days from the contract award. Sponsors intending to take advantage of AB 608 project savings must notify Caltrans and the CTA within 30 days of the contract award, to ensure the request to the CTC can be processed in time to meet the CTC's deadline.

### **Federal and State-Only Funding**

In 2017, the state adopted SB1, which stabilizes the excise tax on gasoline and pegs it to adjust with inflation. Excise taxes are deposited into the State Highway Account, which also includes federal funds. While SB1 stabilize STIP revenues, Caltrans determines the funding split between state-only and federal funding for projects funded in the STIP. Therefore, projects programmed in the 2020 STIP may receive a combination of state and federal funds. Project sponsors must federalize their projects by completing NEPA documentation and complying with federal project delivery rules, if they are assigned federal funds.

### **Article XIX Compliance for Transit Projects**

Article XIX of the California State Constitution restricts the use of State Highway Account (SHA) funds on transit projects. In order for existing and new projects to be programmed in the STIP, the project sponsor or the CTA must provide documentation that verifies the STIP transit project is either 1) eligible for federal funds, or 2) meets Article XIX requirements that only fixed guideway projects in a county that has passed a measure authorizing the use of SHA funds on transit projects may use SHA funds. Also refer to the next section regarding "Matching Requirements."

### **Matching Requirements on Highway and Transit Projects**

A local match is not required for projects programmed in the STIP, except under special situations affecting projects subject to Article XIX restrictions established by the State Constitution. Article XIX limits the use of state revenues in the State Highway Account (SHA) to state highways, local roads, and fixed guideway facilities. Other projects, such as rail rolling stock and buses, are not eligible to receive state funds from the SHA. Article XIX restricted projects must therefore be funded with either a combination of federal STIP funding and matching STIP funds from the Public Transportation Account (PTA), or with 100 percent federal STIP funds in the State Highway Account (which requires a non-federal local match of 11.47% from a non-STIP local funding source or approved use of toll credits).

Project sponsors wishing to use STIP PTA funds as matching funds for Article XIX restricted projects must note such a request in the "Special Funding Conditions" section of the RTIP Application Nomination sheet, and obtain approval from Caltrans through the state-only approval process as previously described. Caltrans has not identified any PTA capacity for the 2020 STIP. Therefore, the CTC will assume any Article XIX restricted STIP project will be funded with 100 percent federal funds using toll credits, or have the appropriate local match.

### **Governor's Executive Orders**

The STIP Guidelines adopted by the CTC recognizes two proclamations and executive orders by Governor Brown. First, in recognition of the historic drought, the CTC expects any landscape projects currently programmed but not yet allocated and awarded, or any new landscape projects, will include drought tolerant plants and irrigation. Second, consistent with Executive Order B-30-15 (April 29, 2015), projects proposed for RTIP funds must consider the State's greenhouse gas emission reduction targets. Projects subject to a project-level performance evaluation are expected to include measures and analyses that address greenhouse gas emission reductions.

### **General Guidance**

#### **Project Advancements**

If a project or project component is ready for implementation earlier than the fiscal year that it is programmed in the STIP, the implementing agency may request an allocation in advance of the programmed year. The CTC will consider making advanced allocations based on a finding that the allocation will not delay availability of funding for other projects programmed in earlier years than the project to be advanced and with the approval of the responsible regional agency if county share funds are to be advanced. In project and financial planning, sponsors should not expect the CTC to advance any projects.

#### **Advance Project Development Element (APDE)**

The 2020 STIP Fund Estimate does not identify funding for APDE. APDE funds may not be proposed in any year of the 2020 STIP.

#### **Unprogrammed Shares**

The counties and the region may propose to leave county share STIP funds unprogrammed for a time to allow adequate consideration of funding options for future projects. The CTC particularly encourages Caltrans and the regional agencies to engage in early consultations to coordinate their ITIP and RTIP proposals for such projects. Counties intending to maintain an unprogrammed balance of its county share for future program amendments prior to the next STIP must include a statement of the intentions for the funds, including the anticipated use of the funds, as well as the amount and timing of the intended STIP amendment(s). However, access to any unprogrammed balance is subject to availability of funds, and may not be approved by the CTC until the next STIP programming cycle.

#### **Countywide RTIP Listing**

By October 9, 2019, each CTA must submit to MTC a draft proposed countywide RTIP project listing showing the proposed programming of county shares. The final list is due to MTC by November 1, 2019, and must include the final project applications for any new projects added to the STIP (or any significantly revised existing STIP projects), details of projects completed since the last STIP, and appropriate project level performance measure analysis.

### **Project Screening Criteria, Including Readiness**

In addition to the CTC Guidelines, all projects included in the 2020 RTIP must meet all MTC project-screening criteria listed in Appendix A-3 of this guidance, including the planning and the project readiness requirements.

### **RTIP Applications**

Project sponsors must complete an application for each new project proposed for funding in the RTIP, consisting of the items included in Appendix A-4 of this guidance. In addition to MTC's Fund Management System (FMS) application, project sponsors must use the latest Project Programming Request (PPR) forms provided by Caltrans for all projects. CTAs should submit PPRs for all projects (including existing projects with no changes) on the revised form provided by Caltrans. The nomination sheet must be submitted electronically for upload into the regional and statewide databases. Existing projects already programmed in the STIP with proposed changes should propose an amendment in MTC's FMS, and submit both electronically and in hard copy a revised PPR provided by Caltrans.

### **STIP Performance Measures: Regional and Project-Level Analyses**

The CTC continues to require performance measures in the RTIP and ITIP review process for the 2020 RTIP. According to the STIP Guidelines, a regional, system-level performance report must be submitted along with the RTIP submission. MTC staff will compile this report, focusing on applying the measures at the Regional Transportation Plan (RTP) level.

In addition, the 2020 STIP Guidelines require a project-level performance measure evaluation on all projects with total project costs over \$50 million or over \$15 million in STIP funds programmed. The project-level evaluation should address performance indicators and measures identified in Table A of the 2020 STIP Guidelines (see Appendix A-4 Part 4). The evaluation should also include a Caltrans-generated benefit/cost estimate, estimated impacts the project will have on the annual cost of operating and maintaining the state's transportation system, and estimated impact to greenhouse gas reduction efforts. The project-level evaluation must also be completed, if it has not already, on existing STIP projects with construction programmed, that exceed \$50 million in total project cost/\$15 million in STIP programming, and have had CEQA completed after December 2011. The CTAs are required to submit the project-level performance measures to MTC by the final application due date.

### **Completed Project Reporting**

The 2020 STIP Guidelines require a report on all RTIP projects over \$20 million in total project cost completed between the adoption of the RTIP and the adoption of the previous RTIP (from December 2017 to December 2019). The report must include a summary of the funding plan and programming/allocation/expenditure history, as well as a discussion of project benefits that were anticipated prior to construction compared with an estimate of the actual benefits achieved. The CTAs are required to submit the completed project reporting information to MTC by the final application due date.

### **Regional Projects**

Applications for projects with regionwide or multi-county benefits should be submitted to both MTC and the affected county CTAs for review. Regional projects will be considered for programming in the context of other county project priorities. MTC staff will work with the interested parties (CTAs and project sponsors) to determine the appropriate level of funding for these projects and negotiate county contributions of the project cost. County contributions would be based on population shares of the affected counties, or other agreed upon distribution formulas.

### **85-115% Adjustments**

MTC may, pursuant to Streets and Highways Code Section 188.8 (k), pool the county shares within the region, provided that each county shall receive no less than 85 percent and not more than 115 percent of its county share for any single STIP programming period and 100 percent of its county share over two STIP programming cycles.

MTC may recommend use of the 85%-115% rule provided for in SB 45 to ensure, as needed, that the proper scope of projects submitted for programming can be accommodated. MTC will also work with CTAs to recommend other options, such as phased programming across STIP cycles, to ensure that sufficient funding and concerns such as timely use of funds are adequately addressed.

### **MTC Resolution No. 3606 Compliance – Regional Project Delivery Policy**

SB 45 established strict timely use of funds and project delivery requirements for transportation projects programmed in the STIP. Missing critical milestones could result in deletion of the project from the STIP, and a permanent loss of the funds to the county and region. Therefore, these timely use of funds deadlines must be considered in programming the various project phases in the STIP. While SB 45 provides some flexibility with respect to these deadlines by allowing for deadline extensions under certain circumstances, the CTC is very clear that deadline extensions will be the exception rather than the rule. MTC Resolution No. 3606, Revised, details the Regional Project Delivery Policy for Regional Discretionary Funding, which are more restrictive than the State's delivery policy. For instance, MTC expects STIP projects to request allocation of funds by January 31<sup>st</sup> of the programmed fiscal year. Further, MTC expects regular status reports from sponsors that will feed into the region's state allocation plan. See Attachment C to MTC Resolution No. 4398 for additional extension and amendment procedures.

### **Allocation of Funds - Requirements**

To ensure there is no delay in the award of the construction contract (which CTC guidelines and MTC Resolution No. 3606 require within six months of allocation), STIP allocation requests for the construction phase of federally-funded projects must be accompanied by the complete and accurate Request for Authorization (RFA) package (also known as the E-76 package). Concurrent submittal of the CTC allocation request and the RFA will minimize delays in contract award. Additionally, for the allocation of any non-environmental phase funds (such as for final design, right of way, or construction), the project sponsor must demonstrate that both CEQA and NEPA documents are completed and certified for federalized projects.

### **Notice of Cost Increase**

For projects with a total estimated cost over \$25 million, the implementing agency must perform quarterly project cost evaluations. If a cost increase greater than 10 percent of the total estimated cost of the particular phase is identified, the implementing agency must notify and submit an updated Project Programming Request (PPR) form to the appropriate CTA and MTC. In the event that a project is divided into sub-elements, the implementing agency will include all project sub-elements (i.e. landscaping, soundwalls, adjacent local road improvements) in the quarterly cost evaluation.

Early notification of cost increases allows the CTA and MTC to assist in developing strategies to manage cost increases and plan for future county share programming.

### **Cost Escalation for Caltrans-Implemented Projects**

CTC remains very critical of unexpected cost increases to projects funded by the STIP. In order to ensure that the amounts programmed in the STIP are accurate, MTC encourages the CTAs to consult with Caltrans and increase Caltrans project costs by an agreed-upon escalation rate if funds are proposed to be shifted to a later year. This will currently only apply to projects implemented by Caltrans.

### **Notice of Contract Award**

Caltrans has developed a procedure (Local Programs Procedures LPP-01-06) requiring project sponsors to notify Caltrans immediately after the award of a contract. Furthermore, Caltrans will not make any reimbursements for expenditures until such information is provided. Project sponsors must also notify MTC and the appropriate CTA immediately after the award of a contract. To ensure proper monitoring of the Timely Use of Funds provisions of SB 45, project sponsors are required to provide MTC and the county CTA with a copy of the LPP-01-06 "Award Information for STIP Projects – Attachment A" form, when it is submitted to Caltrans. This will assist MTC and the CTA in maintaining the regional project monitoring database, and ensure accurate reporting on the status of projects in advance of potential funding lapses. In accordance with CTC and Caltrans policies, construction funds must be encumbered in a contract within six months of allocation.



<b>METROPOLITAN TRANSPORTATION COMMISSION</b> <b>2020 Regional Transportation Improvement Program</b> <b>Development Schedule (Subject to Change)</b> <b>August 5, 2019</b>	
March 13, 2019	Caltrans presentation of draft STIP Fund Estimate Assumptions (CTC Meeting – Los Angeles)
May 15, 2019	CTC adoption of STIP Fund Estimate Assumptions (CTC Meeting – San Diego)
June 26, 2019	Caltrans presentation of the draft STIP Fund Estimate and draft STIP Guidelines (CTC Meeting – Sacramento)
June 27, 2019	Governor signed State Budget
July 22, 2019	STIP Fund Estimate and Guidelines Workshop (Sacramento)
August 14, 2019	CTC adopts STIP Fund Estimate and STIP Guidelines (CTC Meeting – San José)
August 28, 2019	Draft RTIP Policies and Procedures published online and emailed to stakeholders for public comment
September 4, 2019	MTC Programming and Allocations Committee (PAC) scheduled review and recommendation of final proposed RTIP Policies and Procedures
September 25, 2019	MTC Commission scheduled adoption of RTIP Policies and Procedures
October 9, 2019	BACTAs submit to MTC, RTIP projects summary listings and identification of projects requiring project-level performance measure analysis. Deadline to submit Complete Streets Checklist for new projects.
November 1, 2019	Final Project Programming Request (PPR) forms due to MTC. Final RTIP project listing and performance measure analysis due to MTC. Final PSR (or PSR Equivalent), Resolution of Local Support, and Certification of Assurances due to MTC ( <b>Final Complete Applications due</b> )
December 4, 2019	Draft RTIP scheduled to be available for public review
December 11, 2019	PAC scheduled review of RTIP and referral to Commission for approval
December 15, 2019	2020 RTIP due to CTC (PAC approved project list will be submitted)
December 18, 2019	MTC Commission scheduled approval of 2020 RTIP (Full RTIP to be transmitted to CTC within one week of Commission approval)
January 30, 2020	CTC 2020 STIP Hearing – Northern California (TBD)
February 6, 2020	CTC 2020 STIP Hearing – Southern California (TBD)
February 28, 2020	CTC Staff Recommendations on 2020 STIP released
March 25, 2020	CTC adopts 2020 STIP (CTC Meeting – Los Angeles)

Shaded Area – Actions by Caltrans or CTC

## 2020 RTIP Fund Estimate County Targets

8/14/2019

Metropolitan Transportation Commission

All numbers in thousands

Table 1: County Share Targets

FINAL	Through FY 2024-25 New Distrib.	Advanced Carryover and Lapsed	Regional Set-aside*	MTC PPM FY 2023-24 & FY 2024-25	2020 STIP CTA Target**
Alameda	16,481	18,188	(5,063)	(338)	29,268
Contra Costa	11,284	24,969	(31,090)	(220)	4,943
Marin	3,086	(25,337)	(571)	(63)	0
Napa	2,032	428	(376)	(39)	2,045
San Francisco	8,370	1,548	(1,548)	(173)	8,197
San Mateo	8,518	683	(1,598)	(179)	7,424
Santa Clara	19,526	(6,957)	(3,632)	(395)	8,542
Solano	5,114	5,147	(945)	(104)	9,212
Sonoma	6,284	(5,739)	(1,177)	(124)	0
<b>County Totals</b>	<b>80,695</b>	<b>12,930</b>	<b>(46,000)</b>	<b>(1,635)</b>	<b>69,631</b>

Note: Counties with negative balance have a "\$0" new share.

\* Regional set-aside includes \$31 million from ARRA/Caldecott payback, and \$15 million from SFOBB Bike/Ped Access projects

\*\* Does not include CTA PPM programming

Table 2: Planning, Programming, and Monitoring Amounts  
FY 2020-21, FY 2021-22, FY 2022-23, FY 2023-24

	PPM Limit FY 2020-21 through FY 2023-24	MTC PPM FY 2020-21 through FY 2023-24	Programmed CTA PPM Current Share Period				PPM Available for FY 2023-24 or earlier CTA Share***
			FY 2020-21	FY 2021-22	FY 2022-23	FY 2023-24	
Alameda	2,260	632	1,535	0	0	0	93
Contra Costa	1,545	410	355	356	356	0	68
Marin	423	118	287	0	0	0	18
Napa	278	72	65	64	64	0	13
San Francisco	1,146	322	260	259	259	0	46
San Mateo	1,167	334	263	262	262	0	46
Santa Clara	2,674	738	912	912	0	0	112
Solano	700	194	159	159	159	0	29
Sonoma	860	232	197	197	197	0	37
<b>County Totals</b>	<b>11,053</b>	<b>3,052</b>	<b>4,033</b>	<b>2,209</b>	<b>1,297</b>	<b>0</b>	<b>462</b>

Note: Counties may redistribute PPM amounts across all four fiscal years

\*\*\* CTA PPM share has not been subtracted from 2020 STIP CTA target identified in Table 1

Table 3: Planning, Programming, and Monitoring Amounts  
FY 2024-25

	PPM Available for Programming MTC+CTA FY 2024-25	MTC Share for FY 2024-25	CTA Share for FY 2024-25***
Alameda	566	172	394
Contra Costa	387	112	275
Marin	106	32	74
Napa	70	20	50
San Francisco	287	88	199
San Mateo	292	91	201
Santa Clara	670	201	469
Solano	176	53	123
Sonoma	216	63	153
<b>County Totals</b>	<b>2,770</b>	<b>832</b>	<b>1,938</b>

\*\*\* CTA PPM share has not been subtracted from 2020 STIP CTA target identified in Table 1

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**2020 Regional Transportation Improvement Program  
Policies and Procedures  
Appendix A-3: 2020 RTIP Project Screening Criteria**

**Eligible Projects**

- A. Eligible Projects.** SB 45 (Chapter 622, Statutes 1997) defined the range of projects that are eligible for consideration in the RTIP. Eligible projects include, state highway improvements, local road improvements and rehabilitation, public transit, intercity rail, grade separation, pedestrian and bicycle facilities, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety projects. Due to the current fund make up of the STIP, sponsors should expect that all projects programmed in the STIP include a mix of state and federal funds.

**Planning Prerequisites**

- B. RTP Consistency.** Projects included in the RTIP must be consistent with the adopted Regional Transportation Plan (RTP), which state law requires to be consistent with federal planning and programming requirements. Each project to be included in the RTIP must identify its relationship with meeting the goals and objectives of the RTP, and where applicable, the RTP ID number.
- C. CMP Consistency.** Local projects must also be included in a County Congestion Management Plan (CMP), or in an adopted Capital Improvement Program (CIP) for counties that have opted out of the CMP requirement, prior to inclusion in the RTIP.
- D. PSR or PSR Equivalent is Required.** Projects in the STIP must have a complete Project Study Report (PSR) or, for a project that is not on a state highway, a project study report equivalent or major investment study. The intent of this requirement is to ensure that the project scope, cost and schedule have been adequately defined and justified. Projects with a circulating draft or final environmental document do not need a PSR. This requirement is particularly important in light of SB 45 timely use of funds requirements, discussed below.

The required format of a PSR or PSR equivalent varies by project type. Additional guidance on how to prepare these documents is available on the internet at the addresses indicated within Part 3 (PSR, or equivalent) of Appendix A-4: 2020 RTIP Project Application, which includes a table categorizing PSR and PSR equivalent requirements by project type.

**Project Costs and Phases**

- E. Escalated Costs.** All projects will count against share balances on the basis of their fully escalated (inflated) costs. All RTIP project costs must be escalated to the year of expenditure.

As required by law, inflation estimates for Caltrans operations (capital outlay support) costs are based on the annual escalation rate established by the Department of Finance. Local project sponsors

may use the state escalation rates or their own rates in determining the escalated project cost in the year programmed.

**F. Project Phases.** Projects must be separated into the following project components:

1. Completion of all studies, permits and environmental studies (ENV)
2. Preparation of all Plans, Specifications, and Estimates (PS&E)
3. Acquisition of right-of-way (ROW)
4. Construction and construction management and engineering, including surveys and inspections.” (CON)

*Note: Right-of-way and construction components on Caltrans projects must be further separated into capital costs and Caltrans support costs (ROW-CT and CON-CT).*

The project sponsor/CTA must display the project in these four components (six for Caltrans projects) in the final submittal. STIP funding amounts programmed for any component shall be rounded to the nearest \$1,000. Additionally, unless substantially justified, no project may program more than one project phase in a single fiscal year. Caltrans-sponsored projects are exempt from this prohibition. Additionally, right of way (ROW) funds may be programmed in the same year as final design (PS&E) if the environmental document is approved. ROW funds may be programmed in the same year as construction (CON) only if the project does not have significant right of way acquisition or construction costs that require more than a simple Categorical Exemption or basic permitting approvals (see section L). The CTC will not allocate PS&E, ROW, or CON funding until CEQA and NEPA (if federalized) documents are complete and submitted to CTC.

All requests for funding in the RTIP for projects on the state highway system and implemented by an agency other than the Department must include any oversight fees within each project component cost, as applicable and as identified in the cooperative agreement. This is to ensure sufficient funding is available for the project component.

**G. Minimum Project Size.** New projects or the sum of all project components per project cannot be programmed for less than \$500,000 for counties with a population over 1 million (from 2010 U.S. Census data: Alameda, Contra Costa, and Santa Clara Counties), and \$250,000 for counties with a population under 1 million (Marin, Napa, San Francisco, San Mateo, Solano, and Sonoma Counties), with the following exceptions:

- (a) Funds used to match federal funds;
- (b) Planning, Programming and Monitoring (PPM);
- (c) Projects for landscaping and mitigation of State highway projects, including soundwalls;
- (d) Caltrans project support components not allocated by the Commission; and
- (e) Right-of-way capital outlay for Caltrans, which is not allocated by the Commission on a project basis.

Other exceptions may be made on a case-by-case basis.

**H. Fiscal Years of Programming.** The 2020 STIP covers the five-year period from FY 2020-21 through 2024-25. If a project will not be ready for allocation in a certain year, project sponsors should delay funds to a later year of the five-year STIP period.

## **Readiness Standards**

- I. Project Phases Must Be Ready in the Year Proposed.** Funds designated for each project component will only be available for allocation until the end of the fiscal year in which the funds are programmed in the STIP. Once allocated, the sponsor will have two additional years beyond the end of the programmed fiscal year to expend pre-construction STIP funds. For construction, the sponsor will have six months to award a contract and three years to expend funds after project award. Project sponsors must invoice at least once in a six-month period following the allocation of funds. It is therefore very important that projects be ready to proceed in the year programmed.
- J. Completion of Environmental Process.** Government Code Section 14529(c) requires that funding for right-of-way acquisition and construction for a project may be included in the STIP only if the CTC makes a finding that the sponsoring agency will complete the environmental process and can proceed with right-of-way acquisition or construction within the five year STIP period. Furthermore, in compliance with Section 21150 of the Public Resources Code, the CTC may not allocate funds to local agencies for design, right-of-way, or construction prior to documentation of environmental clearance under the California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) for federally-funded projects. Therefore, project sponsors must demonstrate to MTC that these requirements can be reasonably expected to be met prior to programming final design, right-of-way, or construction funds in the RTIP. Final CEQA documents (aside from Categorical Exemptions, or CEs) must be submitted to CTC prior to allocation. Additional information is available at: <https://catc.ca.gov/programs/environmental>.
- K. Programming Project Components in Sequential STIP Cycles.** Project components may be programmed sequentially. That is, a project may be programmed for environmental work only, without being programmed for plans, specifications, and estimates (design). A project may be programmed for design without being programmed for right-of-way or construction. A project may be programmed for right-of-way without being programmed for construction. The CTC recognizes a particular benefit in programming projects for environmental work only, since projects costs and particularly project scheduling often cannot be determined with meaningful accuracy until environmental studies have been completed. As the cost, scope and schedule of the project is refined, the next phases of the project may be programmed with an amendment or in a subsequent STIP.
- When proposing to program only preconstruction components for a project, the implementing agency must demonstrate the means by which it intends to fund the construction of a useable segment, consistent with the regional transportation plan or the Caltrans interregional transportation strategic plan. The anticipated total project cost and source of any uncommitted future funding must be identified.
- L. Sequential Phasing.** For most projects, the different project phases should be programmed sequentially in the STIP, i.e. environmental before design before right of way before construction. Projects with significant right of way acquisition or construction costs that require more than a simple Categorical Exemption or basic permitting approvals, must not be programmed with the right of way and construction components in the same year as the environmental. Project sponsors must provide sufficient time between the scheduled allocation of environmental funds and the start of

design, right of way or construction. As prescribed in Section F, projects may not have more than one phase programmed per fiscal year, with the exceptions of Caltrans-sponsored preconstruction phases, and right of way (ROW) funds programmed with final design (PS&E) or construction (CON) where there are no significant ROW acquisitions necessary.

**M. The Project Must Have a Complete Funding Commitment Plan.** All local projects must be accompanied by an authorizing resolution stating the sponsor's commitment to complete the project as scoped with the funds requested. A model resolution including the information required is outlined in Appendix A-4 - Part 1 of this guidance.

The CTC may program a project component funded from a combination of committed and uncommitted funds. Uncommitted funds may only be nominated from the following competitive programs: Local Partnership Program, Solutions for Congested Corridors Program, or Trade Corridor Enhancement Program. All local projects requesting to be programmed with uncommitted funds must be accompanied with a plan for securing a funding commitment, explain the risk of not securing that commitment, and its plan for securing an alternate source of funding should the commitment not be obtained. If the funding commitment is not secured with the adoption of these programs and alternative funding is not identified within six months, the projects will be subject to deletion by the Commission. Projects programmed by the Commission in the STIP will not be given priority for funding in other programs under the Commission's purview.

The CTC will regard non-STIP funds as committed when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For federal formula funds, including STP, CMAQ, and Federal formula transit funds, the commitment may be by Federal TIP adoption. For federal discretionary funds, the commitment may be by federal approval of a full funding grant agreement or by grant approval.

All regional agencies with rail transit projects shall submit full funding plans describing each overall project and/or useable project segment. Each plan shall list Federal, State, and local funding categories by fiscal year over the time-frame that funding is sought, including funding for initial operating costs. Moreover, should the project schedule exceed the funding horizon, then the amount needed beyond what is currently requested shall be indicated. This information may be incorporated in the project application nomination sheets.

**N. Field Review for Federally Funded Local Projects.** One way to avoid unnecessary STIP amendment and extension requests is to conduct a field review with Caltrans as early as possible, so potential issues may be identified with sufficient time for resolution.

For all projects in the 2020 RTIP (anticipated to be a mix of federal and state funding), the project sponsor agrees to contact Caltrans and schedule and make a good faith effort to complete a project field review within 6-months of the project being included in the Transportation Improvement Program (TIP). For the 2020 STIP, Caltrans field reviews should be completed by September 1, 2020 for federal aid projects programmed in 2020-21 and 2021-22. The requirement does not apply to planning activities, state-only funded projects, or STIP funds to be transferred to the Federal Transit Administration (FTA).

### **Other Requirements**

- O. Availability for Audits.** Sponsors must agree to be available for an audit if requested. Government Code Section 14529.1 “The commission [CTC] shall request that the entity receiving funds accept an audit of funds allocated to it by the commission, if an audit is deemed necessary.”
- P. Interregional Projects May Be Proposed Under Some Restrictive Circumstances.** The project must be a usable segment and be more cost-effective than a Caltrans alternative project. Government Code Section 14527 (c) “A project recommended for funding by the RTPA in the Interregional Improvement Program shall constitute a usable segment, and shall not be a condition for inclusion of other projects in the RTIP.” Government Code Section 14529 (k) “... the commission [CTC] must make a finding, based on an objective analysis, that the recommended project is more cost-effective than a project submitted by the department...”
- Q. Premature Commitment of Funds.** The project sponsor may not be reimbursed for expenditures made prior to the allocation of funds by the CTC (or by Caltrans under delegation authority), unless the provisions of Senate Bill 184 are met in accordance with the CTC Guidelines for Implementation of SB 184. Under no circumstances may funds be reimbursed for expenditures made prior to the funds being programmed in the STIP or prior to the fiscal year in which the project phase is programmed. In addition, the sponsor must make a written request to Caltrans prior to incurring costs, in accordance with Caltrans Local Assistance Procedures for SB 184 implementation.
- R. State-Only Funding.** The 2020 RTIP is expected to be funded with a mix of federal and state funds. Project sponsors must federalize their projects by completing NEPA documentation and complying with federal project delivery rules. Project sponsors are expected to meet all requirements of Article XIX in selecting projects receiving state-only funding. This includes sponsors or the CTA providing documentation verifying the county passed a measure allowing for the use of state-only State Highway Account funds on fixed guideway projects, should RTIP funds be proposed for use on non-federalized fixed guideway transit projects.
- S. Federal Transportation Improvement Program.** All projects programmed in the STIP must also be programmed in the federal Transportation Improvement Program (TIP), regardless of fund source. Project sponsors are encouraged to submit TIP amendment requests immediately following inclusion of the project into the STIP by the CTC. The project listing in the TIP must include total project cost by phase regardless of the phase actually funded by the CTC. STIP projects using federal funds will not receive federal authorization to proceed without the project being properly listed in the TIP.
- T. Agency Single Point of Contact.** Project sponsors shall assign a single point of contact within the agency to address programming and project delivery issues that may arise during the project life cycle. The name, title, and contact information of this person shall be furnished to the CTA and MTC at the time of project application submittal. This shall also serve as the agency contact for all FHWA-funded projects.

**2020 Regional Transportation Improvement Program (RTIP)**  
**Appendix A-4: 2020 RTIP Project Application**

Project sponsors must submit a completed project application for each project proposed for funding in the 2020 RTIP. The application consists of the following five parts and are available on the Internet (as applicable) at: <http://www.mtc.ca.gov/funding/>

1. Resolution of local support
2. Project Study Report (PSR), or equivalent
3. RTIP Project Programming Request (PPR) form (with maps) (must be submitted electronically)
4. Performance Measures Worksheet (if applicable)
5. Complete Streets Checklist (if applicable: check with CTA or on MTC's website, listed above)

**Part 1: Sample Resolution of Local Support**

Note: Use the latest version of the Resolution of Local Support at:  
<https://mtc.ca.gov/our-work/fund-invest/federal-funding/obag-2>

**Resolution No. \_\_\_\_\_**

**Authorizing the filing of an application for funding assigned to MTC and committing any necessary matching funds and stating assurance to complete the project**

**WHEREAS**, (INSERT APPLICANT NAME HERE) (herein referred to as APPLICANT) is submitting an application to the Metropolitan Transportation Commission (MTC) for (INSERT FUNDING \$ AMOUNT HERE) in funding assigned to MTC for programming discretion, which includes federal funding administered by the Federal Highway Administration (FHWA) and federal or state funding administered by the California Transportation Commission (CTC) such as Surface Transportation Block Grant Program (STP) funding, Congestion Mitigation and Air Quality Improvement Program (CMAQ) funding, Transportation Alternatives (TA) set-aside/Active Transportation Program (ATP) funding, and Regional Transportation Improvement Program (RTIP) funding (herein collectively referred to as REGIONAL DISCRETIONARY FUNDING) for the (INSERT PROJECT TITLE(S) HERE) (herein referred to as PROJECT) for the (INSERT MTC PROGRAM(S) HERE) (herein referred to as PROGRAM); and

**WHEREAS**, the United States Congress from time to time enacts and amends legislation to provide funding for various transportation needs and programs, (collectively, the FEDERAL TRANSPORTATION ACT) including, but not limited to the Surface Transportation Block Grant Program (STP) (23 U.S.C. § 133), the Congestion Mitigation and Air Quality Improvement Program (CMAQ) (23 U.S.C. § 149) and the Transportation Alternatives (TA) set-aside (23 U.S.C. § 133); and

**WHEREAS**, state statutes, including California Streets and Highways Code §182.6, §182.7, and §2381(a)(1), and California Government Code §14527, provide various funding programs for the programming discretion of the Metropolitan Planning Organization (MPO) and the Regional Transportation Planning Agency (RTPA); and

**WHEREAS**, pursuant to the FEDERAL TRANSPORTATION ACT, and any regulations promulgated thereunder, eligible project sponsors wishing to receive federal or state funds for a regionally-significant project shall submit an application first with the appropriate MPO, or RTPA, as applicable, for review and inclusion in the federal Transportation Improvement Program (TIP); and

**WHEREAS**, MTC is the MPO and RTPA for the nine counties of the San Francisco Bay region; and



**WHEREAS**, MTC has adopted a Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) that sets out procedures governing the application and use of REGIONAL DISCRETIONARY FUNDING; and

**WHEREAS**, APPLICANT is an eligible sponsor for REGIONAL DISCRETIONARY FUNDING; and

**WHEREAS**, as part of the application for REGIONAL DISCRETIONARY FUNDING, MTC requires a resolution adopted by the responsible implementing agency stating the following:

- the commitment of any required matching funds; and
- that the sponsor understands that the REGIONAL DISCRETIONARY FUNDING is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded with additional REGIONAL DISCRETIONARY FUNDING; and
- that the PROJECT will comply with the procedures, delivery milestones and funding deadlines specified in the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised); and
- the assurance of the sponsor to complete the PROJECT as described in the application, subject to environmental clearance, and if approved, as included in MTC's federal Transportation Improvement Program (TIP); and
- that the PROJECT will have adequate staffing resources to deliver and complete the PROJECT within the schedule submitted with the project application; and
- that the PROJECT will comply with all project-specific requirements as set forth in the PROGRAM; and
- that APPLICANT has assigned, and will maintain a single point of contact for all FHWA- and CTC-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans, FHWA, and CTC on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA- and CTC-funded transportation and transit projects implemented by APPLICANT; and
- in the case of a transit project, the PROJECT will comply with MTC Resolution No. 3866, revised, which sets forth the requirements of MTC's Transit Coordination Implementation Plan to more efficiently deliver transit projects in the region; and
- in the case of a highway project, the PROJECT will comply with MTC Resolution No. 4104, which sets forth MTC's Traffic Operations System (TOS) Policy to install and activate TOS elements on new major freeway projects; and
- in the case of an RTIP project, state law requires PROJECT be included in a local congestion management plan, or be consistent with the capital improvement program adopted pursuant to MTC's funding agreement with the countywide transportation agency; and

**WHEREAS**, that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and

**WHEREAS**, there is no legal impediment to APPLICANT making applications for the funds; and

**WHEREAS**, there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and

**WHEREAS**, APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and

**WHEREAS**, MTC requires that a copy of this resolution be transmitted to the MTC in conjunction with the filing of the application.

**NOW, THEREFORE, BE IT RESOLVED** that the APPLICANT is authorized to execute and file an application for funding for the PROJECT for REGIONAL DISCRETIONARY FUNDING under the FEDERAL TRANSPORTATION ACT or continued funding; and be it further

**RESOLVED** that APPLICANT will provide any required matching funds; and be it further

**RESOLVED** that APPLICANT understands that the REGIONAL DISCRETIONARY FUNDING for

the project is fixed at the MTC approved programmed amount, and that any cost increases must be funded by the APPLICANT from other funds, and that APPLICANT does not expect any cost increases to be funded with additional REGIONAL DISCRETIONARY FUNDING; and be it further

**RESOLVED** that APPLICANT understands the funding deadlines associated with these funds and will comply with the provisions and requirements of the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) and APPLICANT has, and will retain the expertise, knowledge and resources necessary to deliver federally-funded transportation and transit projects, and has assigned, and will maintain a single point of contact for all FHWA- and CTC-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans, FHWA, and CTC on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA- and CTC-funded transportation and transit projects implemented by APPLICANT; and be it further

**RESOLVED** that PROJECT will be implemented as described in the complete application and in this resolution, subject to environmental clearance, and, if approved, for the amount approved by MTC and programmed in the federal TIP; and be it further

**RESOLVED** that APPLICANT has reviewed the PROJECT and has adequate staffing resources to deliver and complete the PROJECT within the schedule submitted with the project application; and be it further

**RESOLVED** that PROJECT will comply with the requirements as set forth in MTC programming guidelines and project selection procedures for the PROGRAM; and be it further

**RESOLVED** that, in the case of a transit project, APPLICANT agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution No. 3866, revised; and be it further

**RESOLVED** that, in the case of a highway project, APPLICANT agrees to comply with the requirements of MTC's Traffic Operations System (TOS) Policy as set forth in MTC Resolution No. 4104; and be it further

**RESOLVED** that, in the case of an RTIP project, PROJECT is included in a local congestion management plan, or is consistent with the capital improvement program adopted pursuant to MTC's funding agreement with the countywide transportation agency; and be it further

**RESOLVED** that APPLICANT is an eligible sponsor of REGIONAL DISCRETIONARY FUNDING funded projects; and be it further

**RESOLVED** that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and be it further

**RESOLVED** that there is no legal impediment to APPLICANT making applications for the funds; and be it further

**RESOLVED** that there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and be it further

**RESOLVED** that APPLICANT authorizes its Executive Director, General Manager, City Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and be it further

**RESOLVED** that a copy of this resolution will be transmitted to the MTC in conjunction with the filing of the application; and be it further

**RESOLVED** that the MTC is requested to support the application for the PROJECT described in the resolution, and if approved, to include the PROJECT in MTC's federal TIP upon submittal by the project sponsor for TIP programming.

## RTIP Project Application

### Part 2: Project Study Report (PSR), or equivalent

The required format of a PSR or PSR equivalent varies by project type. The following table categorizes PSR and PSR equivalent requirements by project type. Additional guidance on how to prepare these documents is available on the Internet at the addresses indicated below, or from MTC.

#### Project Study Report (PSR) Requirements PSR and Equivalents by Project Type

Project Type	Type of Document Required *	Where to get more information
State Highway	Full PSR or PD/ENV Only	<a href="https://dot.ca.gov/-/media/dot-media/programs/design/documents/apdx-l-template.docx">https://dot.ca.gov/-/media/dot-media/programs/design/documents/apdx-l-template.docx</a>
Local Roadway a. rehabilitation b. capacity increasing or other project	PSR for local rehabilitation PSR equivalent – project specific study with detailed scope and cost estimate	In most cases completing the Preliminary Environmental Study and Field Review forms in the Local Assistance Procedures Manual should be sufficient. These forms can be found at: <u>Preliminary Environmental</u> -- <a href="https://dot.ca.gov/programs/local-assistance/guidelines-and-procedures/local-assistance-procedures-manual-lapm">https://dot.ca.gov/programs/local-assistance/guidelines-and-procedures/local-assistance-procedures-manual-lapm</a> then look in chapter 6 pg 6-31. <u>Field Review</u> -- <a href="https://dot.ca.gov/programs/local-assistance/guidelines-and-procedures/local-assistance-procedures-manual-lapm">https://dot.ca.gov/programs/local-assistance/guidelines-and-procedures/local-assistance-procedures-manual-lapm</a> then look in chapter 7 pg 7-13.
Transit	State of California Uniform Transit Application	This file is being remediated and is available upon request
Other	PSR equivalent with detailed scope and cost estimate	To be determined on a case by case basis

\* In some instances a Major Investment Study (MIS) prepared under federal guidance may serve as a PSR equivalent where information provided is adequate for programming purposes.

## **RTIP Project Application**

### **Part 3: Project Programming Request (PPR) Form**

Applicants are required to submit a Project Programming Request (PPR) form in order to be considered for funding from the 2020 RTIP.

The PPR for new projects will be made available at the following location:

<https://dot.ca.gov/programs/transportation-programming/office-of-capital-improvement-programming-ocip>

The PPRs for existing projects can be downloaded from the following location:

<https://dot.ca.gov/programs/transportation-programming/ca-transportation-improvement-program-system-ctips>

### **Part 4: Performance Measures Worksheet**

Applicants submitting nominations for projects with total project costs exceeding \$50 million, or have over \$15 million in STIP funds programmed, are required to submit a Performance Measure Worksheet.

The Worksheet template is available at the following location:

<https://catc.ca.gov/programs/state-transportation-improvement-program>

Select the “2020 STIP Guidelines” document. The template begins on page 10 and continues on page 44 of the guidelines, under “Appendix B: Performance Indicators and Measures”.

### **Part 5: Complete Streets Checklist**

Applicants are required to include the Complete Streets (Routine Accommodations) Checklist with the application submittal to MTC for projects that will have an impact on bicycles or pedestrians. The Checklist is available from the Congestion Management Agencies and at the MTC website at <http://mtc.ca.gov/our-work/plans-projects/bicycle-pedestrian-planning/complete-streets>.

# MTC 2020 Regional Transportation Improvement Program

December 11, 2019  
 (all numbers in thousands)

County	Agency	PPNO	Project	2020 RTIP Total	2020 RTIP Funding by Fiscal Year					Outside RTIP
					20-21	21-22	22-23	23-24	24-25	
<b>Alameda County Shares</b>										
Alameda	MTC	2100	Planning, programming, and monitoring	804	150	155	161	166	172	-
Alameda	ACTC	2179	Planning, programming, and monitoring	2,022	1,628	-	-	-	394	-
Alameda	AC Transit	new	Replacement of Transbay Buses	13,125	13,125	-	-	-	-	-
Alameda	ACTC	2323	I-80 Gilman I/C Reconstruction and Access Imps.	41,229	41,229	-	-	-	-	-
Alameda	MTC		Regional Set Aside	-	-	-	-	-	-	5,063
			<b>Alameda County Total</b>	<b>57,180</b>	<b>56,132</b>	<b>155</b>	<b>161</b>	<b>166</b>	<b>566</b>	<b>5,063</b>
<b>Contra Costa County Shares</b>										
Contra Costa	CCCPW	new	Treat Boulevard Corridor Improvements - North Main Street to Jones Road	1,600	-	-	-	1,600	-	-
Contra Costa	CCTA	new	SR4 Operational Improvements - Phase 2	3,000	-	-	-	3,000	-	-
Contra Costa	CCTA	0299A	SR4 Operational Improvements - Phase 1	7,500	-	7,500	-	-	-	-
Contra Costa	CCTA	242K	I-80/San Pablo Dam Rd Interchange (Ph. 2)	9,200	-	9,200	-	-	-	-
Contra Costa	BART	2010C1	Concord BART Station Modernization	9,500	9,500	-	-	-	-	-
Contra Costa	CCTA	20110	Planning, programming, and monitoring	1,410	355	356	356	68	275	-
Contra Costa	MTC	2118	Planning, programming, and monitoring	522	97	101	104	108	112	-
Contra Costa	CCTA	2025H	I-80/Central Avenue - Phase 2 (Local Road Realignn	7,773	5,900	1,873	-	-	-	-
Contra Costa	MTC		Regional Set Aside	-	-	-	-	-	-	31,090
			<b>Contra Costa Total</b>	<b>40,505</b>	<b>15,852</b>	<b>19,030</b>	<b>460</b>	<b>4,776</b>	<b>387</b>	<b>31,090</b>
<b>Marin County Shares</b>										
Marin	MTC	2127	Planning, programming, and monitoring	150	28	29	30	31	32	-
Marin	TAM	2127C	Planning, programming, and monitoring	379	305	-	-	-	74	-
Marin	MTC		Regional Set Aside	-	-	-	-	-	-	571
			<b>Marin County Total</b>	<b>529</b>	<b>333</b>	<b>29</b>	<b>30</b>	<b>31</b>	<b>106</b>	<b>571</b>
<b>Napa County Shares</b>										
Napa	Caltrans	0376	Soscol Junction	29,819	300	23,419	-	-	-	-
Napa	City of Napa	0380N	Silverado Five-Way Intersection Improvements	1,153	-	-	-	1,153	-	-
Napa	American Cyn	2130D	Devlin Road and Vine Trail Extension	4,151	4,151	-	-	-	-	-
Napa	County of Napa	2300B	Napa Valley Vine Trail St. Helena to Calistoga	98	98	-	-	-	-	-
Napa	MTC	2130	Planning, programming, and monitoring	92	17	18	18	19	20	-
Napa	NVTA	1003E	Planning, programming, and monitoring	256	52	52	51	51	50	-
Napa	MTC		Regional Set Aside	-	-	-	-	-	-	376
			<b>Napa County Total</b>	<b>35,569</b>	<b>4,618</b>	<b>23,489</b>	<b>69</b>	<b>1,223</b>	<b>70</b>	<b>376</b>

County	Agency	PPNO	Project	2020 RTIP Total	2020 RTIP Funding by Fiscal Year					Outside RTIP
					20-21	21-22	22-23	23-24	24-25	
<b>San Francisco County Shares</b>										
San Francisco	SFCTA	2007	Planning, programming, and monitoring	1,023	260	259	259	46	199	-
San Francisco	MTC	2131	Planning, programming, and monitoring	410	76	79	82	85	88	-
San Francisco	SFMTA	2137	Communications-Based Train Control - Phases 1 & 2	13,752	13,752	-	-	-	-	-
San Francisco	SFMTA	new	New Flyer Midlife Overhaul - Phase III	7,952	-	-	-	-	7,952	-
San Francisco	MTC		Regional Set Aside	-	-	-	-	-	-	1,548
<b>San Francisco County Total</b>				<b>23,137</b>	<b>14,088</b>	<b>338</b>	<b>341</b>	<b>131</b>	<b>8,239</b>	<b>1,548</b>
<b>San Mateo County Shares</b>										
San Mateo	SMCTA	690A	US-101 Willow Rd I/C Reconst. (AB3090 Reimburse	4,000	-	-	-	-	-	-
San Mateo	Caltrans	668D	SR 92/US 101 Interchange Imps. - Phase 2	3,217	-	3,217	-	-	-	-
San Mateo	MTC	2140	Planning, programming, and monitoring	425	79	82	85	88	91	-
San Mateo	SM C/CAG	2140A	Planning, programming, and monitoring	1,034	263	262	262	46	201	-
San Mateo	Redwood City	0692K	US 101/Woodside Road Interchange Imp. Project	8,000	-	8,000	-	-	-	-
San Mateo	SM C/CAG	new	US 101 Managed Lane Project North of I-380	7,177	-	-	-	7,177	-	-
San Mateo	S. San Francisco	0702D	US 101 Produce Avenue Interchange - Imps.	5,000	5,000	-	-	-	-	-
San Mateo	SM C/CAG	0658J	US 101 Managed Lanes Project - Highway Planting Replacement	3,000	-	3,000	-	-	-	-
San Mateo	SM C/CAG	0658G	ITS Imps. in Daly City, Brisbane, and Colma	1,000	-	1,000	-	-	-	-
San Mateo	Daly/Brisbane/C	0658G	ITS Imps. in Daly City, Brisbane, and Colma	6,900	-	-	6,900	-	-	-
San Mateo	MTC		Regional Set Aside	-	-	-	-	-	-	1,598
<b>San Mateo County Total</b>				<b>39,753</b>	<b>9,342</b>	<b>15,561</b>	<b>7,247</b>	<b>7,311</b>	<b>292</b>	<b>1,598</b>
<b>Santa Clara County Shares</b>										
Santa Clara	VTA	503J	I-280 Soundwalls at Bird Ave. in San Jose	6,167	929	456	4,782	-	-	-
Santa Clara	VTA	0521C	I-680 Soundwall from Capitol to Mueller	3,275	3,275	-	-	-	-	-
Santa Clara	MTC	2144	Planning, programming, and monitoring	939	175	181	188	194	201	-
Santa Clara	BART	2147E	BART Phase 2: Extension to Downtown San Jose/S&e	29,702	-	29,702	-	-	-	-
Santa Clara	SCVTA	2255	Planning, programming, and monitoring	2,405	912	912	112	-	469	-
Santa Clara	San Jose	9035N	San Jose West San Carlos Urban Village Streetscap	4,350	-	4,350	-	-	-	-
Santa Clara	VTA	2015H	Silicon Valley Express Lanes Program - Phase 5 Civ	7,961	4,754	-	3,207	-	-	-
Santa Clara	MTC		Regional Set Aside	-	-	-	-	-	-	3,632
<b>Santa Clara County Total</b>				<b>54,799</b>	<b>10,045</b>	<b>35,601</b>	<b>8,289</b>	<b>194</b>	<b>670</b>	<b>3,632</b>

County	Agency	PPNO	Project	2020 RTIP Total	2020 RTIP Funding by Fiscal Year					Outside RTIP
					20-21	21-22	22-23	23-24	24-25	
<b>Solano County Shares</b>										
Solano	MTC	2152	Planning, programming, and monitoring	247	46	48	49	51	53	-
Solano	STA	2263	Planning, programming, and monitoring	629	159	159	159	29	123	-
Solano	Caltrans	new	Solano I-80 Managed Lanes Project	34,000	-	34,000	-	-	-	-
Solano	STA	new	SR 37 Fairgrounds Dr. Interchange Project	5,000	-	5,000	-	-	-	-
Solano	Vacaville	5301V	Jepson Pkwy (Leisure Town from Commerce to Orar	9,296	9,296	-	-	-	-	-
Napa	County of Napa	2300B	Napa Valley Vine Trail St. Helena to Callistoga	98	98	-	-	-	-	-
Solano	Solano TA	2251A	SR 12/Church Rd	1,939	-	1,939	-	-	-	-
Solano	MTC		Regional Set Aside	-	-	-	-	-	-	945
<b>Solano County Total</b>				<b>51,209</b>	<b>9,599</b>	<b>41,146</b>	<b>208</b>	<b>80</b>	<b>176</b>	<b>945</b>
<b>Sonoma County Shares</b>										
Sonoma	SCTA	770E	Planning, programming, and monitoring	781	350	-	278	-	153	-
Sonoma	MTC	2156	Planning, programming, and monitoring	295	55	57	59	61	63	-
Sonoma	MTC		Regional Set Aside	-	-	-	-	-	-	1,177
<b>Sonoma County Total</b>				<b>1,076</b>	<b>405</b>	<b>57</b>	<b>337</b>	<b>61</b>	<b>216</b>	<b>1,177</b>
<b>2020 RTIP Total - Bay Area</b>				<b>303,757</b>	<b>120,414</b>	<b>135,406</b>	<b>17,142</b>	<b>13,973</b>	<b>10,722</b>	<b>46,000</b>

Note: Detail on project programming by year and phase will be submitted to CTC

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# MTC 2020 Regional Transportation Improvement Program

## 2020 RTIP Contingency Projects December 11, 2019 (all numbers in thousands)

County	Agency	PPNO	Project	2020 RTIP Total	20-21	21-22	22-23	23-24	24-25	Outside RTIP
<b>Alameda County Shares</b>										
			<b>Alameda County Total</b>	-	-	-	-	-	-	-
<b>Contra Costa County Shares</b>										
			<b>Contra Costa Total</b>	-	-	-	-	-	-	-
<b>Marin County Shares</b>										
			<b>Marin County Total</b>	-	-	-	-	-	-	-
<b>Napa County Shares</b>										
			<b>Napa County Total</b>	-	-	-	-	-	-	-
<b>San Francisco County Shares</b>										
			<b>San Francisco County Total</b>	-	-	-	-	-	-	-
<b>San Mateo County Shares</b>										
			<b>San Mateo County Total</b>	-	-	-	-	-	-	-
<b>Santa Clara County Shares</b>										
			<b>Santa Clara County Total</b>	-	-	-	-	-	-	-
<b>Solano County Shares</b>										
	Caltrans	new	SR 12 Rio Vista Downtown Complete Street	1,000	-	-	-	1,000	-	-
	Fairfield	new	Jepson Parkway Ph 3: Widen Vanden Rd from Cannon to south of Leisure Town Rd	3,000	-	-	-	-	3,000	-
			<b>Solano County Total</b>	4,000	-	-	-	1,000	3,000	-
<b>Sonoma County Shares</b>										
			<b>Sonoma County Total</b>	-	-	-	-	-	-	-
<b>2020 RTIP Total - Bay Area</b>				<b>4,000</b>	-	-	-	<b>1,000</b>	<b>3,000</b>	-

Note: Detail on project programming by year and phase will be submitted to CTC  
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Date: September 25, 2019  
W.I.: 1515  
Referred by: PAC

Attachment C  
Resolution No. 4398  
Page 1 of 13

**2020**  
**Regional Transportation Improvement Program**

**STIP Amendments / Extensions**  
**Rules and Procedures**

**September 25, 2019**

**MTC Resolution No. 4398**  
**Attachment C**

**Metropolitan Transportation Commission**  
**Programming and Allocations Section**  
<http://mtc.ca.gov/our-work/fund-invest>

**RTIP**  
**Regional Transportation Improvement Program**  
**STIP Amendments / Extensions**  
**Rules and Procedures**  
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## **Regional Transportation Improvement Program (RTIP) STIP Amendments / Extensions Rules and Procedures**

### **What is the STIP?**

The State Transportation Improvement Program (STIP) is the State's spending program for state and federal funding. The STIP is comprised of the Regional Transportation Improvement Program (RTIP) and the Interregional Transportation Improvement Program (ITIP). The program is updated every two years and covers a five-year period. STIP funded projects, like all other state and federally funded projects, must be listed in the TIP in order for the sponsor to access the funding.

Seventy-five percent (75%) of the funding in the STIP flows to regions by formula through their RTIPs. Regions throughout the state are charged with developing an expenditure plan for the funds. Eligible project types include improvements to state highways, local roads, public transit, intercity rail, pedestrian and bicycle facilities, grade separations, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety.

The remaining 25% of the funding flows to the ITIP, which is a statewide program managed by Caltrans. This funding is directed to projects that improve interregional transportation and is closely linked to Caltrans's Interregional Transportation Strategic Plan (ITSP). Eligible project types include intercity passenger rail, mass transit guideways, grade separation, and state highways.

### **When are Amendments and Extensions Allowed?**

#### **STIP Amendments**

An amendment may change the cost, scope or schedule of a STIP project and its components. For instance, if the final cost estimate for a project is higher (or lower) than the amount programmed, a STIP amendment may be requested to increase or (decrease) the amount programmed. Or, as a project progresses through project development, it may be time to add the next component or phase. Likewise, if the project schedule is delayed significantly, an amendment may be warranted to request a change in program year of the funding in order to prevent a funding lapse. STIP amendments may also be requested to delete project funding or to add a new project into the STIP.

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**Important Tip:** Once a state fiscal year (July 1 – June 30) has begun, the CTC will not allow STIP amendments to delete or change the funding programmed in that fiscal year. Instead, the project sponsor may request a one-time extension as described below.

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#### **One-time Extension Requests**

SB 45 established deadlines for allocation, contract award, expenditure and reimbursement of funds for all projects programmed in the STIP. The CTC may, upon request, grant a one-time extension to each of these deadlines for up to 20 months. However, the CTC will only grant

an extension if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. Furthermore, the extension will not exceed the period of delay directly attributable to the extraordinary circumstance. Generally, the CTC does not grant extensions longer than 12 months. Additionally, project sponsors must be present at the CTC meeting where action is taken on any extension request, to answer questions the CTC staff or commissioners may have.

### **Roles and Responsibilities**

The STIP Amendment and Extensions process requires review and approval by various agencies to ensure the action requested is appropriate, and consistent with state statutes, CTC guidance, Caltrans procedures and regional policies. Projects must be included in a county Congestion Management Program (CMP) or county Capital Improvement Program (CIP), and must be consistent with the Regional Transportation Plan (RTP) to be programmed in the RTIP. Therefore, any additions or changes that may impact the priorities established within these documents must be reviewed and approved by the appropriate agency. Furthermore, improperly programmed funds or missed deadlines could result in funding being permanently lost to the region.

*Project sponsors* are responsible for reviewing and understanding the procedures, guidance and regulations affecting projects programmed in the STIP. Project sponsors must also assign a Single Point of Contact – an individual responsible for submitting documentation for STIP amendments and extensions that must have read and understood these policies and procedures, particularly the CTC STIP Guidelines available on the internet at <https://dot.ca.gov/programs/transportation-programming/office-of-capital-improvement-programming-ocip> and the MTC RTIP Policies and Application Procedures posted on the internet at: <http://mtc.ca.gov/our-work/fund-invest/investment-strategies-commitments/transit-21st-century/funding-sales-tax-and>. Project sponsors are ultimately responsible for ensuring the required documentation is provided to Caltrans by the deadlines established by MTC's Regional Project Delivery Policy (MTC Resolution No. 3606) and Caltrans for all allocations, extensions, and additional supplemental funds requests.

*The Congestion Management Agencies/Transportation Authorities*, collectively known as the Bay Area County Transportation Agencies (CTAs), are responsible for ensuring the packages submitted by the project sponsors are complete, and the proposed changes are consistent with the Regional Transportation Plan (RTP), and Congestion Management Plans (CMPs) or Capital Improvement Program (CIP). The CTAs check to ensure the proposed changes meet MTC, CTC and other state or federal guidance and regulations. As mentioned in the Guiding Principles of the 2020 RTIP Policies and Procedures, the CTA must consider equitable distribution of projects in accordance with Title VI. Following CTA concurrence of the request, the complete package is forwarded to MTC.

*The Metropolitan Transportation Commission (MTC)*, as the Regional Transportation Planning Agency (RTPA) for the nine counties of the San Francisco Bay Area, provides concurrence for the STIP requests and formally submits all STIP Amendments to Caltrans for approval by the CTC. MTC also verifies compliance with established state and regional policies. Although MTC provides concurrence on extensions, additional supplemental funds

requests and some allocation requests, it is the responsibility of the project sponsor, not MTC, to ensure the required documentation is submitted to Caltrans by the established deadlines for these action requests.

*The California Department of Transportation (Caltrans)* processes the requests and makes recommendations to the California Transportation Commission (CTC) in accordance with Department procedures and CTC policies and guidelines.

*The California Transportation Commission (CTC)* approves or rejects the requests based on state statutes and its own established guidance and procedures.

### **Requesting STIP Amendments and Extensions**

As described below, the procedures for processing STIP amendments and extensions vary depending on whether the project is sponsored by Caltrans or a local agency, and whether it has already received STIP funding. Extension Requests and STIP Amendments to delay projects programmed in the following fiscal year must be submitted to MTC and Caltrans by January 31 for CTC action no later than April.

### **Step 1: Project Sponsor Requests STIP Amendment or Extension**

#### **For currently programmed Caltrans projects:**

- Caltrans and the appropriate CTA identify and discuss the issue(s) that may require an amendment or extension and notify MTC Programming and Allocations (P&A) Section staff that a change to the current STIP may be necessary and is being considered.
- Caltrans and CTA agree on proposed change(s).
- Where necessary, CTA staff requests policy board approval of proposed change.
- Once approved by the CTA, CTA notifies Caltrans in writing of the county's concurrence, with a copy sent to MTC P&A.
- Caltrans requests MTC concurrence for the STIP Amendment/Extension by transmitting the following to MTC P&A:
  - Letter requesting the STIP Amendment or Extension with explanation and justification of the need for the action with the following attachments:

#### **For a STIP Amendment:**

- Copy of CTA's letter of concurrence
- Revised Project Programming Request (PPR) Form – <http://mtc.ca.gov/stip>
- Submittal of TIP Revision Request through FMS – <http://fms.mtc.ca.gov>
- A construction 'STIP History' for each amendment that would delay the year of construction. The 'STIP History' outlines the project's construction history as programmed in the STIP with particular attention to any previous delays and reason for the previous and current delay. It must note the original inclusion of the project construction component in the STIP and each prior

project construction STIP amendment delay including for each, the amendment date, the dollar amount programmed for construction, and the scheduled year of construction delay. It must also include a statement on the financial impact of the construction delay on the project, and an estimated funding source for the additional funds necessary to complete the project under the delayed schedule. (A STIP History is only required for amendments to delay the year of construction.)

**For an Extension:**

- Copy of CTA's letter of concurrence
- A construction 'STIP History' for each extension that would delay construction as described above for a STIP Amendment.

**For currently programmed local projects:**

- Sponsor and the appropriate CTA identify and discuss the issue(s) that may require an amendment or extension and notify Caltrans and MTC Programming and Allocations Section staff that a change to the current STIP may be necessary and is being considered.
- Sponsor and CTA agree on proposed change(s).
- Sponsor requests CTA concurrence for the STIP Amendment/Extension by submitting the following to the CTA by January 31:
  - Letter requesting the STIP Amendment or Extension with explanation and justification of the need for the action with the following attachments:

**For a STIP Amendment:**

- Revised Project Programming Request (PPR) Form - <http://mtc.ca.gov/stip>
- Submittal of TIP Revision Request through FMS – <http://fms.mtc.ca.gov>
- A construction 'STIP History' for each amendment that would delay the year of construction. The 'STIP History' outlines the project's construction history as programmed in the STIP with particular attention to any previous delays and reason for previous and current delay. It must note the original inclusion of the project construction component in the STIP and each prior project construction STIP amendment delay including for each, the amendment date, the dollar amount programmed for construction, and the scheduled year of construction delay. It must also include a statement on the financial impact of the construction delay on the project, and an estimated funding source for the additional funds necessary to complete the project under the delayed schedule. (A STIP History is only required for amendments to delay the year of construction.)
- Any other documentation required by the CTA or Caltrans

**For an Extension:**

- Copy of completed Request for Time Extension form (Exhibit 23-B, located on the internet at: <https://dot.ca.gov/programs/local-assistance/forms/local-assistance-program-guidelines-forms>).
  - A construction ‘STIP History’ for each extension that would delay construction, as described above for a STIP Amendment.
  - A listing showing the status of all SB 45 and regional project delivery policy (MTC Resolution 3606) deadlines for all of the project sponsors’ allocated STIP projects, and all active projects funded through the Federal Highway Administration (FHWA), including but not limited to Surface Transportation Program (STP), Congestion Mitigation Air Quality Improvement (CMAQ), and Active Transportation Program (ATP) projects. This is to ensure project sponsors are aware of the other deadlines facing other projects, and so that sponsors will work to meet those deadlines. A template is available online at: [http://mtc.ca.gov/sites/default/files/Template\\_FHWA\\_Funded\\_Projects\\_Status.xlsx](http://mtc.ca.gov/sites/default/files/Template_FHWA_Funded_Projects_Status.xlsx).
  - Any other documentation required by the CTA or Caltrans
- Where necessary, CTA staff requests policy board approval of proposed request.
  - Sponsor submits Caltrans’ “Request for Time Extension” form and any other required documentation to Caltrans.
  - CTA requests MTC concurrence for the STIP Amendment/Extension by transmitting a letter to MTC P&A requesting the STIP Amendment or Extension with explanation and justification of the need for the action along with the documentation submitted by the project sponsor. A copy of the request is also sent to Caltrans.
  - Sponsor must be present at the CTC meeting where action is being taken on the extension request to justify the reasons for the extension. Failure to be present may result in the CTC denying the extension request, and risk losing the programmed funds permanently due to missed deadlines. In limited instances, a project sponsor may request that their CTA be available in place of the project sponsor. The CTA and MTC must concur with this request via email.

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**Important Tip:** For STIP Extensions, the CTC will only grant an extension if it finds that an unforeseen and extraordinary circumstance beyond the control of the responsible agency has occurred that justifies the extension. Furthermore, the extension will not exceed the period of delay directly attributable to the extraordinary circumstance, up to a maximum of 20 months (although the Commission generally does not grant any extension longer than 12 months). It is therefore absolutely necessary that the letter and supporting documentation clearly explains and justifies the extension request. Failure to provide adequate justification and not being present at the CTC meeting will most likely result in an extension not being approved.

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**For all new projects:**

- Sponsor and the appropriate CTA identify and discuss the issue(s) that may require a new project to be added to the STIP and notify Caltrans and MTC Programming and Allocations (P&A) Section staff an amendment to the current STIP may be necessary and is being considered.
- Sponsor and CTA agree on proposed addition.
- Sponsor requests CTA concurrence for the STIP Amendment by submitting the following to the CTA:
  - Letter requesting the STIP Amendment with explanation and justification of the need for the project to be added to the STIP.
  - Submittal of TIP Revision Request through FMS – <http://fms.mtc.ca.gov>
  - RTIP Application form including: - <http://www.mtc.ca.gov/stip>
    - Resolution of local support
    - Project Programming Request (PPR) forms (with maps)
    - Transportation Improvement Program (TIP) amendment
    - Project Study Report (PSR), or equivalent.
    - Complete Streets Checklist and Performance Measures form, as applicable
    - Copy of State-Only Funding Request Exception Form (Only if requesting state-only funding and project is not on pre-approved state-only eligible funding list. Original request is to be submitted directly to Caltrans HQ Budgets for processing and approval prior to MTC submittal of the request to Caltrans/CTC).
- CTA staff obtains policy board approval of proposed addition.
- CTA requests MTC concurrence for the new project by transmitting a letter to MTC P&A requesting the STIP Amendment with an explanation and justification of the need for the project along with a copy of the CTA Resolution approving the project, and the documentation listed above provided by the project sponsor.

**Step 2: MTC Review and Concurrence**

- Once a complete request has been received, MTC P&A staff will place the request on the MTC Programming and Allocations Committee (PAC) meeting agenda for concurrence of major changes, or prepare a letter of concurrence for the Executive Director's signature for minor changes.
- Following approval by PAC and/or the Executive Director, MTC will send a Letter of Concurrence to Caltrans District 4 with a copy to the appropriate CTA. (District 4 will ensure that the request is copied to the appropriate contacts at Caltrans Headquarters and CTC.) MTC may concur with minor extensions administratively at the staff level, and with minor changes on Caltrans-sponsored projects administratively via email.



### **Major versus minor changes**

- All major changes, including any requests to program a new project, will be presented to MTC's Programming and Allocations Committee (PAC) to determine MTC's concurrence. Major changes include:
    - request to program a new project (or delete a project)
    - schedule delay that affects air quality conformity analysis
    - project advance with reimbursement or replacement project per AB 3090
    - request to use Grant Anticipation Revenue Vehicle (GARVEE) financing
  - For minor changes, MTC staff may write a letter of concurrence for the Executive Director's signature. Minor changes include:
    - Extension requests for allocation, award, expenditure and reimbursement/project completion deadlines (minor extensions may be concurred administratively by MTC staff)
    - schedule changes, except where change implies major cost or delivery ramifications
    - changes in implementing agency or project sponsor
    - changes to project budget that are less than 20% of the total project cost or less than \$1 million.
    - redirection of funds from one project component to another (e.g. from project engineering into environmental)
    - changes considered routine and not impacting project delivery
- \* Amendments or extensions based on new federal or state requirements may need to go to MTC's PAC

### **Additional/Supplemental Funds**

On occasion it may be necessary to provide additional 'Supplemental' funding to a project as a result of cost increases or revised cost estimates. There are several different processes to follow depending on where the project is within its delivery schedule. The various methods to add STIP funding to a project are as follow:

**Biennial STIP Cycle:** If additional funding is identified years before the actual allocation, the project sponsor may request the funding through the biennial STIP adoption process. This process is outlined in MTC's RTIP Policies and Application Procedures, and is the preferred method of requesting additional/supplemental funds.

**STIP Amendment:** If additional funding is identified prior to the allocation of funds, but is required prior to the next biennial STIP adoption, a STIP amendment adding the funds to the project may be requested as outlined in the STIP Amendment procedures above. However, in most cases the additional funds could be added at the time of allocation, thus foregoing the STIP amendment process.

**Additional Funds at Time of Allocation:** Often the simplest way to add supplemental funds is at the time of allocation. The process is the same as the procedures outlined above for a time extension, except that instead of a “Request for Time Extension” form, a “Request for STIP Funding Allocation” form is used (Exhibit 23-O, located on the internet at: <https://dot.ca.gov/programs/local-assistance/forms/local-assistance-program-guidelines-forms>). In all supplemental funding requests, the additional funding must be approved by the CTC.

**Additional Funds After Allocation:** It may be necessary to seek additional funds after an allocation, either to award the project or due to unforeseen cost increases while the project is under construction. In either case, an analysis should be performed to determine whether re-engineering (sometimes called “value engineering”) could achieve cost reductions to accommodate the increase. If additional funds are still necessary, a funding source outside the STIP should be pursued prior to seeking additional STIP funding. If it is determined that additional STIP funds are needed, then the project sponsor should proceed as with the procedures outlined for “Additional Funds at Time of Allocation”. It should be noted that once the funds are allocated, the project sponsor does not have the option to add the funds through a STIP amendment since the CTC does not allow amendments to change the programming for a given component after the funds have been allocated.

### **Allocation of Funds**

Project sponsors request an allocation of funds directly to Caltrans, with Caltrans placing the request on the CTC Agenda for approval. The completed request package is due to Caltrans 60 days prior to the CTC meeting where the funds are anticipated to be allocated. MTC requires sponsors to obtain MTC concurrence on allocation requests in addition to the circumstances noted below:

**Local Road Rehabilitation Projects:** Allocation of funds for local road rehabilitation projects requires certification from MTC. Project sponsors should submit the “Pavement Management System Certification” form with the “Local Road Rehabilitation Project Certification” form attached (Exhibits 23-L and 23-K, both found on the internet at: <https://dot.ca.gov/programs/local-assistance/forms/local-assistance-program-guidelines-forms>) directly to MTC for signature. MTC will then transmit the signed form to Caltrans District 4 – Local Assistance. All other allocation request documentation should be sent directly to Caltrans District 4 – Local Assistance.

**Allocation of State-Only Funds:** MTC concurs with all State-Only funds allocations that are listed in the STIP as State-Only. Projects without State-Only funding pre-approved by CTC must request a State-Only Funding Exception form (Exhibit 23-F, found on the internet at: <https://dot.ca.gov/programs/local-assistance/forms/local-assistance-program-guidelines-forms>). MTC must concur with the exception request, and the form is submitted to Caltrans.

**Funds Allocated Differently than Programmed:** In some instances it may be necessary to allocate funds differently from what is programmed in the STIP. These situations

generally still require MTC concurrence. Fortunately a STIP amendment may not be required, and the funding may be revised at the time of the allocation, thus avoiding the long STIP amendment process. However, A TIP amendment is still required, especially if federal funds are involved. Changes that are allowed at the time of allocation are noted below; however, project sponsors should consult with Caltrans District 4 Local Assistance, the CTA and/or MTC to determine whether a change at the time of allocation is permissible before preparing the allocation request.

- Change in implementing agency
- Cost savings (allocation less than program amount)
- Redirection of funds among project components or phases within the project as long as total STIP funding has not increased or previously been allocated.
- Advancement of funding from future years (transit projects with funds to be transferred to FTA require a TIP amendment to advance funds)
- Change in funding type (a change to state-only funding requires approval from Caltrans with their “State-Only Funding Request Exception” form if the project type is not on the pre-approved state-only eligible funding list – see “Allocation of State-Only Funds” above).

**STP/CMAQ Match Reserve:** Project sponsors must work with the applicable CTA to obtain programming approval for STP/CMAQ match made available in the STIP. The CTA develops a countywide list for the use of the reserved funds and submits the list to MTC, who in turns provides Caltrans with the region-wide Match Program. Any deviation from this program, whether in the funding amount, project sponsor, or funding year, requires the CTA to resubmit an updated plan for the county to MTC. Caltrans cannot allocate the matching funds if they are inconsistent with the approved STIP - STP/CMAQ Match Program.

**Funds allocated as programmed in the STIP:** The allocation of funds as they are programmed in the STIP and TIP should receive MTC concurrence. Project sponsors work with Caltrans District 4 local assistance and MTC programming staff in obtaining the allocation. STIP projects using federal funds will not receive federal authorizations to proceed without the project being properly listed in the TIP. Federal authorization to proceed (E-76) requests must be submitted to Caltrans concurrently with the STIP allocation package to avoid delays to authorization.

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**Important Tip:** Although some minor changes in the allocation of funds may not require a full STIP amendment, most changes still require MTC concurrence, and possibly a TIP amendment and a vote of the CTC. Project sponsors are encouraged to consult with the CTA, and Caltrans District 4 prior to preparing any allocation request, to ensure sufficient time is allowed for processing the allocation request, particularly toward the end of the year when the Timely Use of Funds provisions of SB 45 are of critical concern.

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### **Timeline for STIP Amendment/Extension Approval**

Completed documentation requesting MTC concurrence must be received by MTC staff no later than the first day of the month prior to the month in which the request will be heard by the Programming and Allocations Committee (PAC). (For example, requests received by January 1 will be reviewed at the February PAC meeting). Subsequently, requests with completed documentation and MTC concurrence must be submitted to the Caltrans District Office 60 to 90 days prior to the CTC meeting where the item will be considered. Therefore, requests for concurrence need to be submitted to MTC generally 150 days prior to CTC action for STIP Amendments and 120 days prior to CTC action for extensions.

For example, a STIP amendment request to add a new STIP project (considered a major amendment) is due to MTC by January 1, so it may be approved at the February PAC Meeting, and then submitted to Caltrans in time for the 60-day due date of March 2, so it may be noticed at the May 2 CTC meeting for action at the June 6 CTC meeting.

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**Important Tip:** The CTC will not amend the STIP to delete or change the funding for any project component after the beginning of the fiscal year in which the funding is programmed. Therefore, all amendments to delay a project component must be approved by the CTC by the June meeting in the year prior to the programmed year of funding. To meet this deadline, amendments to delay delivery must be submitted to MTC no later than January 1 of the fiscal year prior to the fiscal year of the funding subject to delay.

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### **Timely Delivery of Programmed Funds**

Projects programmed in the STIP must adhere to the delivery policies established in MTC Resolution 3606. Unless coordination with other funding sources and programs require a later date, requests for STIP extensions, amendments to delay existing STIP projects and STIP allocations are due to Caltrans Local Assistance no later than January 31 of the fiscal year the funds are programmed in the STIP. This is to ensure STIP projects do not miss the June 30 end-of-year delivery deadlines imposed by the CTC.

A due date schedule is prepared each year for the submittal of STIP requests. This schedule is posted on the internet at: <https://dot.ca.gov/programs/transportation-programming/office-of-ctc-liaison-octcl> In addition, [MTC Resolution 3606](#) imposes regional deadlines in advance of state and federal timely use of funds deadlines, to ensure funds are not lost to the region.

### **STIP Amendment Form/TIP Amendment Form**

The forms necessary to initiate the STIP Amendment process may be downloaded from the MTC website at: <http://mtc.ca.gov/stip>. TIP Amendments should be processed through the Fund Management System, also available at the website mentioned above.

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**Contacts for STIP Amendments/Extensions:**

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# APPENDIX A – 17

## *Regional Policies: Project Funding and Specific Funding Programs*

**Active Transportation Program (ATP) Cycle 4  
Regional Program Guidelines and  
Program of Projects for the San Francisco Bay Area  
MTC Resolution No. 4324**



Date: April 25, 2018  
W.I.: 1515  
Referred by: PAC  
Revised: 02/27/19-C

ABSTRACT

Resolution No. 4324, Revised

This resolution adopts the Active Transportation Program (ATP) Regional Program Cycle 4 Guidelines for the San Francisco Bay Area, for submission to the California Transportation Commission (CTC), consistent with the provisions of Senate Bill 99 and Assembly Bill 101.

This resolution includes the following attachments:

- Attachment A – Guidelines: Policies, Procedures, and Project Selection Criteria
- Attachment B – Cycle 4 Regional ATP Program of Projects

This resolution was amended via Commission action on February 27, 2019 to update Attachment B, Cycle 4 Regional Active Transportation Program of Projects.

Further discussion of these actions is contained in the summary sheet to the MTC Programming and Allocations Committee dated April 11, 2018 and February 13, 2019.

Date: April 25, 2018  
W.I.: 1515  
Referred by: PAC

RE: Adoption of Regional Active Transportation Program (ATP)  
Cycle 4 Guidelines and Program of Projects

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4324

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 *et seq.*; and

WHEREAS, MTC has adopted and periodically revises, pursuant to Government Code Sections 66508 and 65080, a Regional Transportation Plan (RTP); and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county San Francisco Bay Area region and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes federal funds; and

WHEREAS, MTC is the designated recipient for federal funding administered by the Federal Highway Administration (FHWA) assigned to the MPO/Regional Transportation Planning Agency (RTPA) of the San Francisco Bay Area for the programming of projects (regional federal funds); and

WHEREAS, the California State Legislature passed and the Governor signed into law Senate Bill 99 (Chapter 359, Statutes 2013) and Assembly Bill 101 (Chapter 354, Statutes 2013), establishing the Active Transportation Program (ATP); and

WHEREAS, MTC adopts, pursuant to Streets and Highways Code Section 2381(a)(1), an Active Transportation Program of Projects using a competitive process consistent with guidelines adopted by the California Transportation Commission (CTC) pursuant to Streets and Highways Code Section 2382(a), that is submitted to the CTC and the California Department of Transportation (Caltrans); and

WHEREAS, MTC has developed, in cooperation with CTC, Caltrans, operators of publicly owned mass transportation services, congestion management agencies, countywide



transportation planning agencies, and local governments, guidelines to be used in the development of the ATP; and

WHEREAS, a multi-disciplinary advisory group evaluates and recommends candidate ATP projects for MTC inclusion in the Active Transportation Program of Projects; and

WHEREAS, the ATP is subject to public review and comment; now, therefore, be it

RESOLVED, that MTC approves the guidelines to be used in the evaluation of candidate projects for inclusion in the ATP, as set forth in Attachment A of this resolution, and be it further

RESOLVED, that MTC approves the Active Transportation Program of Projects, as set forth in Attachment B of this resolution, and be it further

RESOLVED that the Executive Director or designee can make technical adjustments and other non-substantial revisions; and be it further

RESOLVED, that the Executive Director shall forward a copy of this resolution, and such other information as may be required to the CTC, Caltrans, and to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

  
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Jake Mackenzie, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in San Francisco, California, on April 25, 2018.

Date: April 25, 2018  
W.I.: 1515  
Referred by: PAC

Attachment A  
Resolution No. 4324  
Page 1 of 14

**2019 Regional Active Transportation Program  
(ATP)**

**Cycle 4**

**Guidelines**

**April 25, 2018**

**MTC Resolution No. 4324  
Attachment A**

**Metropolitan Transportation Commission  
Programming and Allocations Section  
<http://mtc.ca.gov/our-work/fund-invest>**

**2019 Regional Active Transportation Program (ATP) Cycle 4  
Guidelines  
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## 2019 Regional Active Transportation Program Cycle 4 Guidelines

### **Background**

In September 2013, the Governor signed Senate Bill 99 (Chapter 359, Statutes 2013) and Assembly Bill 101 (Chapter 254, Statutes 2013) into law, creating the Active Transportation Program (ATP). The State envisions the ATP to consolidate a number of other funding sources intended to promote active transportation, such as the Bicycle Transportation Account and Transportation Alternatives Program, into a single program.

State and federal law separate ATP funds into three main components, distributed as follows:

- 50% to the state for a statewide competitive program
- 10% to the small urban and rural area competitive program to be managed by the state
- 40% to the large urbanized area competitive program, with funding distributed by population and managed by the Metropolitan Planning Organization (MPO) – hereinafter referred to as the “Regional Active Transportation Program”

The California Transportation Commission (CTC) developed guidelines for the Cycle 4 ATP are expected to be adopted in May 2018. The CTC Guidelines lay out the programming policies, procedures, and project selection criteria for the statewide competitive program, as well as for the small urban/rural and large MPO regional competitive programs. Large MPOs, such as MTC, have the option of developing regional policies, procedures, and project selection criteria that differ from those adopted by CTC, provided the regional guidelines are approved by CTC.

This document serves as MTC’s Cycle 4 Regional ATP Guidelines that substantially follow those of the CTC, but include a number of differences based on the region’s existing policies and priorities. MTC adopted these Guidelines for the MTC Regional Active Transportation Program on April 25, 2018, for final consideration by the CTC in May 2018.

### **Development Principles**

The following principles will frame the development of MTC’s Regional ATP.

- MTC will work with CTC staff, Caltrans, Congestion Management Agencies (CMAs), transit operators, regional Active Transportation Working Group, and interested stakeholders to develop the Regional Active Transportation Program.
- ATP investments must advance the objectives of the Regional Transportation Plan (RTP)/Sustainable Communities Strategy.
- MTC will exceed the State’s 25% minimum programming requirement to projects benefiting disadvantaged communities.
- MTC will continue to work with Caltrans, CMAs, transit operators, and project sponsors to seek efficiencies and streamlining for delivering projects in the federal-aid process.
- MTC will continue to advocate that all project savings and un-programmed balances remain within the ATP program rather than redirected to the State Highway Account, and specifically that savings

and balances in the 40% Large MPO programs remain within the regional programs, consistent with federal guidance on the Transportation Alternative Program (TAP).

### **CTC Guidelines**

The California Transportation Commission (CTC) ATP Guidelines are expected to be adopted in May 2018, and are available at: <http://www.catc.ca.gov/programs/atp/>. The approved CTC Guidelines for the Active Transportation Program, as posted on the CTC website, are incorporated in MTC's Regional ATP Guidelines via this reference. All project sponsors are required to follow both the MTC and CTC ATP Guidelines in the development and implementation of the Regional ATP.

### **ATP Development Schedule**

Development of the ATP will follow the schedule outlined in Appendix A-1 of this guidance, which is subject to change.

### **ATP Regional Shares**

Appendix A-2 of this guidance provides the MTC regional shares for Cycle 4 of ATP funding (FY 2019-20 through FY 2022-23); consistent with the ATP Fund Estimate scheduled for adoption by the CTC. Appendix A-2 also includes the State's 25% minimum programming requirement to projects benefiting disadvantaged communities.

### **Public Involvement Process**

In developing the ATP, MTC is committed to a broad, inclusive public involvement process consistent with MTC's Public Participation Plan, available at <http://mtc.ca.gov/about-mtc/public-participation/public-participation-plan>.

### **ATP Projects in the Transportation Improvement Program (TIP)**

Consistent with state and federal requirements, ATP funded projects must be programmed in the TIP prior to seeking a CTC allocation. Selected projects must complete and submit a Fund Management System (FMS) application by July 1, 2019 in order to be included in the TIP. In addition, MTC requires that a federal Request for Authorization (RFA) be submitted simultaneously with the ATP allocation request to Caltrans and CTC when the ATP project includes federal funds. Unless a state-only funding exception is granted, ATP funds will contain federal funds. Therefore, projects must receive a CTC allocation and a federal authorization to proceed prior to the expenditure of eligible costs or advertisement of contract award.

### **Deviations from Statewide Policies**

Below are MTC-region specific policies as they apply to the Regional Active Transportation Program. These policies differ from CTC's Guidelines.

**1. Application Process and Additional Regional Screening/Evaluation Criteria**

MTC elects to hold a separate call for projects for the Regional Active Transportation Program, and has additional evaluation and screening criteria. Further information on these changes, as well as instructions on the application process are detailed later in this guidance.

Project sponsors may apply for either the State ATP program or Regional ATP program, or both. Sponsors applying to the State ATP program or to both the state and regional programs must submit a copy of their state application to MTC. In order to be considered for the regional program, including consideration if unsuccessful in the statewide program, applicants must meet all regional requirements and submit a regional application by the application deadline.

**2. Definition, Evaluation, and Funding Minimum for Disadvantaged Communities**

*Definition*

The MTC region has already adopted a measure to define Disadvantaged Communities (DACs) known as "Communities of Concern". MTC updated the Communities of Concern (COCs) definition in January 2016 as a part of the *Plan Bay Area 2040* Equity Framework. For the purposes of meeting the State's 25% DAC minimum requirement in the Regional ATP, MTC elects to use MTC's COC definition.

MTC's Communities of Concern are defined as those census tracts that have concentration of both minority and low-income households, or that have a concentration of 3 or more of the remaining 6 factors below (#3 to #8), but only if they also have a concentration of low-income households. The concentration thresholds for these factors are described below.

<b>Disadvantage Factor</b>	<b>% of Regional Population</b>	<b>Concentration Threshold</b>
1. Minority Population	58%	70%
2. Low Income (<200% of Poverty) Population	25%	30%
3. Limited English Proficiency Population	9%	20%
4. Zero-Vehicle Households	10%	10%
5. Seniors 75 Years and Over	6%	10%
6. People with Disability	9%	25%
7. Single-Parent Families	14%	20%
8. Severely Rent-Burdened Households	11%	15%

Based on this definition, 22% of the region's population is located in Communities of Concern. MTC's Communities of Concern definition of Disadvantaged Communities meets the State's legislative intent, and has already been in use in the MTC region for planning and programming purposes.

Additional discussion of the Communities of Concern definition and methodology are included in the *Plan Bay Area 2040* Equity Analysis Report, available online at:

<https://www.planbayarea.org/2040-plan/plan-details/equity-analysis>

Information regarding the 2016 update is available online at:

[https://mtc.legistar.com/View.ashx?M=F&ID=4216456&GUID=42E0CBF3-9490-4A6D-A6A6-](https://mtc.legistar.com/View.ashx?M=F&ID=4216456&GUID=42E0CBF3-9490-4A6D-A6A6-B04003451057)

[B04003451057](https://mtc.legistar.com/View.ashx?M=F&ID=4216456&GUID=42E0CBF3-9490-4A6D-A6A6-B04003451057). The last link also includes a static map of the COC locations. An interactive online map is available at: <http://opendata.mtc.ca.gov/datasets/MTC::mtc-communities-of-concern-acs-2012-2016-2018?geometry=-132.743%2C36.37%2C-111.836%2C39.404>.

#### *Community-Based Transportation Plans (CBTPs)*

The Community-Based Transportation Planning Program is a collaborative planning process that involves residents in low-income Bay Area communities, community- and faith-based organizations that serve them, transit operators, county congestion management agencies (CMAs), and MTC. Each plan includes locally identified transportation needs, as well as solutions to address them. Each plan reflects the objectives of the program, which are to:

- emphasize community participation in prioritizing transportation needs and identifying potential solutions;
- foster collaboration between local residents, community-based organizations, transit operators, CMAs and MTC; and
- build community capacity by involving community-based organizations in the planning process.

Project findings are forwarded to applicable local or county-level policy boards, as well as to MTC, for consideration in planning, funding and implementation discussions.

#### *Vision Zero Policy or Bike and Pedestrian Safety Policy or Plan*

Vision Zero is a traffic safety policy that strives to achieve safety for all road users, setting the goal of zero traffic fatalities or severe injuries. Vision Zero policies maintain that traffic deaths and severe injuries are preventable and focus attention on the shortcomings of the transportation system itself, including the built environment, policies, and technologies that influence behavior. Each Vision Zero policy generally contains five core resolutions:

- Traffic deaths and severe injuries are acknowledged to be preventable.
- Human life and health are prioritized within all aspects of transportation systems.
- Acknowledgement that human error is inevitable, and transportation systems should be forgiving.
- Safety work should focus on systems-level changes above influencing individual behavior.
- Speed is recognized and prioritized as the fundamental factor in crash severity.

Alternatively, jurisdictions may adopt policies or a plan addressing bicycle and pedestrian safety, in the spirit of Vision Zero.

### *Scoring*

MTC elects to change the statewide application's scoring point value for Disadvantaged Communities, assigning the value to 60% of the statewide scoring value. Twenty percent of the statewide scoring value will be awarded for projects identified in an approved Community-Based Transportation Plan (CBTP) or similar, and the remaining 20% to projects within a jurisdiction with a Vision Zero or Bike and Pedestrian Safety Policy or Plan. The applicant will provide proof of CBTP consistency and Vision Zero or safety policy or plan in the supplemental regional application.

### **3. Establish a Target for Project Funding Requests \$1 million and Under**

MTC elects to establish a target of 10% of ATP funds for project requests of \$1 million and under. The goal of the target is to encourage smaller project applications throughout the region. If the 10% target is not met based on score order, projects requesting \$1 million and under which score five or fewer points under the lowest scoring funded project may be added to the Program in order to meet the target.

Project requests over \$1 million must meet federal requirements and receive federal funds, while project requests \$1 million and will be prioritized for state-only funding. Exceptions may be granted on a case-by-case basis, subject to the federal/state funding availability identified in Appendix A-2.

### **4. Match Requirement**

The CTC Guidelines do not require a match for Statewide ATP projects. The CTC Guidelines allow MPOs to define different match requirements for the Regional ATP.

Differing from CTC Guidelines, MTC elects to impose a local match requirement for the regional ATP of 11.47%, with match waivers for projects benefiting a Community of Concern, stand-alone non-infrastructure projects, and safe routes to schools projects. As an added provision, a project sponsor may request the local match requirement be waived for the construction phase of an infrastructure project if the pre-construction phases are entirely funded using non-federal and non-ATP funds. This provision minimizes the number of federalized phases requiring an E-76 through Caltrans Local Assistance.

### **5. Contingency Project List**

MTC will adopt a list of projects for programming the Regional ATP that is financially constrained against the amount of ATP funding available (as identified in the approved ATP Fund Estimate). In addition, MTC will include a list of contingency projects, ranked in priority order based on the project's evaluation score. MTC intends to fund projects on the contingency list should there be any project failures or savings in the Cycle 4 Regional ATP. This will ensure that the Regional ATP will fully use all ATP funds, and that no ATP funds are lost to the region. The contingency list is valid until the adoption of the next ATP Cycle.



## **Application Process**

### **Project Application**

Upon CTC concurrence of MTC's Regional ATP Guidelines, MTC will issue a call for projects for the Regional Active Transportation Program. Project sponsors must complete an application for each project proposed for funding in the ATP, consisting of the items included in Appendix A-3 of this guidance. Project sponsors must use the Project Programming Request (PPR) forms provided by Caltrans for all projects. The PPR must be submitted electronically in Microsoft Excel format for upload into the regional and statewide databases. All application materials, in the form of 3 hard copies and 1 electronic copy must be received by MTC or postmarked no later than July 31, 2018 in order to be considered.

### **Additional Project Screening Criteria, Including Readiness**

In addition to the CTC Guidelines, all projects included in the ATP must meet the following screening criteria.

- A. Prohibition of Multiple Phases in Same Year.** Project sponsors must provide sufficient time between the scheduled allocation of environmental funds and the start of design, right of way or construction. Therefore, projects may not have more than one phase programmed per fiscal year, except for design and right of way, which may be programmed in the same fiscal year. Exceptions may be made on a case-by-case basis.
- B. Deliverability.** Project sponsors must demonstrate they can meet the delivery timeframe of the Active Transportation Program. Projects that can be delivered (receive a CTC allocation and federal authorization to proceed for federal funds) earlier, shall receive priority for funding over other projects. As specified in MTC's Regional Project Delivery Policy (MTC Resolution No. 3606, Revised), sponsors must submit the CTC allocation and obligation paperwork to Caltrans/CTC by November 1 of the programmed fiscal year, and receive the federal authorization to proceed (E-76 / federal obligation) by January 31 of the programmed fiscal year. There are no extensions to these regional delivery deadlines.
- C. One Bay Area Grant (OBAG) 2 Requirements.**
  - a. Consistency with OBAG 2 Housing Element Requirement. Jurisdictions (cities and counties) must have a general plan housing element adopted and certified by the California Department of Housing and Community Development (HCD) for 2014-2022 RHNA by May 31, 2015. Jurisdictions that have failed to meet this deadline must have their housing elements certified by HCD by June 30, 2016 in order to be eligible to receive ATP funding. Furthermore, under state statute, jurisdictions are required to submit Housing Element Annual Reports by April 1 every year. All cities and counties receiving ATP funding must comply with this requirement during the entire ATP funding period or risk deprogramming of ATP funding.

- b. Consistency with OBAG 2 Complete Streets Policy. Complete Streets are an essential part of promoting active transportation. To that end, project sponsors must supply documentation that the jurisdiction(s) in which the project is located meets the OBAG Complete Streets Policy by July 31, 2018. The policy may be met by the jurisdiction either having updated the General Plan after January 1, 2010 to be consistent with the Complete Streets Act of 2008, or adopting a complete streets policy resolution incorporating MTC's complete streets requirements. For further information regarding MTC's OBAG Complete Streets Policy, refer to the OBAG 2 website at: <http://mtc.ca.gov/our-work/fund-invest/federal-funding/obag-2>. A sample complete streets policy resolution is available at: [http://mtc.ca.gov/sites/default/files/OBAG\\_2\\_Reso\\_Guidance\\_Final.pdf](http://mtc.ca.gov/sites/default/files/OBAG_2_Reso_Guidance_Final.pdf)

**D. Transit Agency Coordination.** Applicants must demonstrate coordination with affected transit agencies in the supplemental regional application. This should be in the form of a support letter or other discussion showing coordination with affected transit operators. Projects that do not impact transit operations should indicate "no impact". Otherwise, an application may be disqualified based on lack of coordination with affected transit operators.

#### **Additional Project Evaluation Criteria**

MTC will use the CTC project evaluation criteria as set forth in the CTC Guidelines, with additional criteria for the Regional Active Transportation Program. The additional criteria are:

- **Consistency with Regional Priorities and Planning Efforts. (0 to 7 points)**  
Applicants shall describe the project's consistency with previously-approved regional priorities, and how the project supports *Plan Bay Area 2040*. Points will be awarded for the degree of the proposed project's consistency with regional priorities, such as:
  - Consistency with *Plan Bay Area 2040*'s Healthy and Safe Community goals and Transportation Demand Management strategies.
  - Consistency with MTC's Spare the Air Youth and Safe Routes to School Program, making it safer and easier for students and teachers to walk or bike to school.
  - Bay Trail build-out
  - Regional Bike Network build-out
  - Gap closures in the Regional Bike Network
  - Multi-jurisdictional projects
- **Completion of Approved Environmental Document. (0 or 3 points)**  
While the Active Transportation Program may fund pre-construction phases of projects, including the environmental document phase, the region prefers projects which are environmentally cleared in order to promote certainty in project delivery and project scope. Applicants that provide evidence of an approved environmental document consistent with the California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) will receive additional points. If requesting state-only funding, only CEQA documentation is required. Evidence may be provided by the following methods:
  - Photocopy of the approved environmental document cover and executive summary;

- Link to the approved environmental document available online;
- Full soft copy of the environmental document provided on the electronic copy of the application;
- Documentation from Caltrans regarding environmental approval; and/or
- Other Council/Board action, such as resolutions and/or Planning Department approval of environmental document.

This provision does not apply to planning activities or stand-alone non-infrastructure projects, which receive the full points to this criterion regardless of environmental status at the time of application. These projects must still follow any applicable CEQA or NEPA requirements to receive ATP funding.

- **Countywide Plans/Goals Consistency Determination. (0 or -2 point)**  
Following the application due date, MTC will share the received applications with the County Congestion Management Agencies (CMAs) or Countywide Transportation Planning Agency (collectively referred to as "CMAs"). The CMAs will review the applications for consistency with adopted countywide transportation plans, active transportation plans, and/or other countywide goals, as applicable. The CMAs will provide MTC a list of projects determined to be inconsistent with countywide plans and/or goals no later than October 1, 2018. Inconsistent projects will receive a 2 point penalty; consistent projects will be held harmless.
- **Deliverability Determination. (0 or -5 points)**  
The regional program evaluation committee, in consultation with MTC staff, will review each application's project delivery schedule for ability to meet regional deadlines as described in MTC Resolution No. 3606, Revised. Projects that are deemed unable to allocate ATP funds within the four programming years of Cycle 4 (FY 2019-20 through FY 2022-23) shall receive a 5 point penalty. Projects that are deemed able to allocate within the four programming years of Cycle 4 will be held harmless.

### **Additional Regional Policies**

#### **Title VI Compliance**

Investments made in the ATP must be consistent with federal Title VI requirements. Title VI prohibits discrimination on the basis of race, color, disability, and national origin in programs and activities receiving federal financial assistance.

#### **MTC Resolution No. 3606 Compliance – Regional Project Delivery Policy**

The CTC ATP Guidelines establish timely use of funds and project delivery requirements for ATP projects. Missing critical milestones could result in deletion of the project from the ATP, and a permanent loss of funds to the region. Therefore, these timely use of funds deadlines must be considered in programming the various project phases in the ATP. While the CTC Guidelines provide some flexibility with respect to these deadlines by allowing for deadline extensions under certain circumstances, the CTC is very clear that deadline extensions will be the exception rather than the rule. MTC Resolution No. 3606 details the Regional Project Delivery Policy for regional discretionary funding, which may be more restrictive than the State's delivery policy. All projects in the regional

ATP are subject to the Regional Project Delivery Policy (MTC Resolution 3606), including the adoption of a Resolution of Local Support for selected projects by July 1, 2019. For additional information, refer to <http://mtc.ca.gov/our-work/fund-invest/federal-funding/project-delivery>.

**MTC Resolution No. 3765 Compliance – Complete Streets Checklist**

MTC's Resolution No. 3765 requires project sponsors to complete a checklist that considers the needs of bicycles and pedestrians for applicable projects. The Complete Streets Checklist (also known as "Routine Accommodations Checklist") is available through MTC's website online at <http://mtc.ca.gov/our-work/plans-projects/bicycle-pedestrian-planning/complete-streets>. Furthermore, it is encouraged that all bicycle projects programmed in the ATP support the Regional Bicycle Network and county-wide bicycle plans. Guidance on considering bicycle transportation can be found in MTC's 2009 Regional Bicycle Plan (a component of Transportation 2035) and Caltrans Deputy Directive 64. MTC's Regional Bicycle Plan, containing federal, state and regional polices for accommodating bicycles and non-motorized travel, is available on MTC's Web site at: <http://mtc.ca.gov/our-work/plans-projects/bicycle-pedestrian-planning>.

<b>METROPOLITAN TRANSPORTATION COMMISSION (MTC)</b> <b>2019 Regional Active Transportation Program (ATP) Cycle 4</b> <b>Appendix A-1: ATP Development Schedule (Subject to Change)</b> <b>April 25, 2018</b>	
January 2018	CTC releases draft ATP Guidelines
February 2018	Draft Regional ATP Guidelines presented to Working Groups
April 11, 2018	MTC Programming and Allocations Committee (PAC) review and recommendation of final Regional ATP Guidelines
April 25, 2018	MTC Commission scheduled adoption of Regional ATP Guidelines MTC submits adopted Regional ATP Guidelines to CTC for consideration
May 16-17, 2018	<b>CTC scheduled adoption of State ATP Guidelines</b> <b>CTC scheduled approval of MTC's Regional ATP Guidelines</b>
May 16, 2018	<b>CTC scheduled release of ATP Call for Projects for Statewide Competitive Program</b> <b>MTC scheduled release of ATP Call for Projects for Regional Program</b>
July 31, 2018	<b>State ATP Applications Due to CTC (Statewide Program)</b> <b>Regional ATP Applications Due to MTC (Regional Program)</b>
December 31, 2018	CTC releases staff recommendation for ATP Statewide Competitive Program
January 2019	<b>ATP Statewide Program Adoption:</b> CTC scheduled to adopt statewide program and transmit unsuccessful projects to the Regions for consideration
February 15, 2019	MTC releases staff recommendation for ATP Regional Program
February/March 2019	Working Group discussions of staff recommendations
March 13, 2019	MTC Programming and Allocation Committee (PAC) scheduled review and recommendation of final ATP Regional Program
March 27, 2019	<b>ATP Regional Program Adoption:</b> MTC Commission scheduled approval of ATP regional program and transmittal to CTC for consideration
June 2019	<b>CTC Approval of ATP Regional Program</b>
July 1, 2019	<b>TIP Amendment Deadline:</b> Successful ATP project sponsors to submit 2019 TIP Amendment, including Resolution of Local Support
September 25, 2019	MTC Commission scheduled to approve TIP Amendment to add ATP projects into federal TIP
November 1, 2019	Allocation/Obligation Submittal Deadline for Regional ATP projects programmed in FY 2019-20
November 20, 2019	TIP Approval: FHWA/FTA anticipated approval of ATP projects in federal TIP
January 31, 2020	Allocation/Obligation Deadline for Regional ATP projects programmed in FY 2019-20
November 1, 2020	Allocation/Obligation Submittal Deadline for Regional ATP projects programmed in FY 2020-21
January 31, 2021	Allocation/Obligation Deadline for Regional ATP projects programmed in FY 2020-21
November 1, 2021	Allocation/Obligation Submittal Deadline for Regional ATP projects programmed in FY 2021-22
January 31, 2022	Allocation/Obligation Deadline for Regional ATP projects programmed in FY 2021-22
November 1, 2022	Allocation/Obligation Submittal Deadline for Regional ATP projects programmed in FY 2022-23
January 31, 2023	Allocation/Obligation Deadline for Regional ATP projects programmed in FY 2022-23

Shaded Area – Actions by State, CTC or Caltrans

**Metropolitan Transportation Commission (MTC)**  
**2019 Regional Active Transportation Program (ATP) Cycle 4**

**Appendix A-2: MTC ATP Regional Share Targets**

**Cycle 4 Program - FY 2019-20 through FY 2022-23**

*ATP Regional Share*

All numbers in thousands

<b>Fund Source</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>	<b>FY 2021-22</b>	<b>FY 2022-23</b>	<b>Total</b>
Federal STBG (TAP)			\$5,484	\$5,484	\$10,969
Federal Other			\$1,907	\$1,907	\$3,815
State	\$8,045	\$8,045			\$16,090
SB1			\$2,898	\$2,898	\$5,797
<b>Total ATP Regional Share</b>	<b>\$8,045</b>	<b>\$8,045</b>	<b>\$10,290</b>	<b>\$10,290</b>	<b>\$36,670</b>

*State's 25% Disadvantaged Communities Minimum Requirement*

<b>Classification</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>	<b>FY 2021-22</b>	<b>FY 2022-23</b>	<b>Total</b>
25% - Benefiting Disadvantaged Communities	\$2,011	\$2,011	\$2,572	\$2,572	\$9,167
75% - Anywhere in the Region	\$6,034	\$6,034	\$7,717	\$7,717	\$27,502
<b>Total ATP Regional Share</b>	<b>\$8,045</b>	<b>\$8,045</b>	<b>\$10,290</b>	<b>\$10,290</b>	<b>\$36,670</b>

**Total Regional ATP Cycle 4 (FY 2019-20 through FY 2022-23)**

*ATP Regional Share - Total*

All numbers in thousands

<b>Fund Source</b>	<b>FY 2019-20</b>	<b>FY 2020-21</b>	<b>FY 2021-22</b>	<b>FY 2022-23</b>	<b>Total</b>
All Fund Sources	\$8,045	\$8,045	\$10,290	\$10,290	\$36,670
<b>Total ATP Regional Augmentation Share</b>	<b>\$8,045</b>	<b>\$8,045</b>	<b>\$10,290</b>	<b>\$10,290</b>	<b>\$36,670</b>

## **METROPOLITAN TRANSPORTATION COMMISSION (MTC)**

### **2019 Regional Active Transportation Program (ATP) Cycle 4**

#### **Appendix A-3: Regional ATP Project Application**

Project sponsors must submit a completed project application for each project proposed for funding in the Regional Active Transportation Program. The application consists of the following parts and are available on the Internet (as applicable) at: <http://mtc.ca.gov/our-work/invest-protect/investment-strategies-commitments/protect-our-climate/active-transportation>

1. Cover letter on Agency letterhead signed by the applicant's Chief Executive Officer or other officer authorized by the applicant's governing board
  - a. If the proposed project is implemented by an agency other than the project sponsor, documentation of the agreement between the two entities must be included
  - b. If proposing matching funds, the letter should include confirmation that these matching funds are available for the proposed project
2. Project application forms
  - a. Statewide ATP Application Form, available at <http://www.catc.ca.gov/programs/ATP.htm>
  - b. Regional ATP Supplemental Application Form, available at <http://mtc.ca.gov/our-work/invest-protect/investment-strategies-commitments/protect-our-climate/active-transportation>, including back-up documentation, as applicable, such as:
    - i. Community of Concern benefit evidence
    - ii. Environmental Documentation certification evidence (CEQA and NEPA, if requesting federal funds)
    - iii. OBAG 2 Complete Streets Policy and Housing Element compliance
    - iv. Community-Based Transportation Plan evidence
    - v. Vision Zero Policy or Bike and Pedestrian Safety Policy or Plan evidence
    - vi. Transit Agency Coordination evidence
3. Project Programming Request (PPR) form
  - a. Available at: [http://www.dot.ca.gov/hq/transprog/ocip/pprs/2\\_21\\_2018\\_project\\_programming\\_request\\_template.xls](http://www.dot.ca.gov/hq/transprog/ocip/pprs/2_21_2018_project_programming_request_template.xls)
4. Complete Streets Checklist
  - a. Available at: <http://mtc.ca.gov/our-work/plans-projects/bicycle-pedestrian-planning/complete-streets>
  - b. Not necessary for Planning or Non-Infrastructure projects.

Note: Selected projects are also required to provide a Resolution of Local Support for the project no later than April 1, 2019.

**Attachment B**  
**Metropolitan Transportation Commission**  
**2019 Active Transportation Program (ATP)**  
**Cycle 4**  
**FY 2019-20 through FY 2022-23**  
**Regional ATP Cycle 4 List of Projects**

MTC Resolution No. 4324  
Attachment B  
Adopted: April 25, 2018  
Revised: 02/27/19-C

**Regional ATP Cycle 4 Projects (in county order)**

County	Implementing Agency	Project	Regional ATP
Alameda	ACPW	Active and Safe Oakland	\$ 999
Alameda	ACTC	Alameda County School Travel Opportunities Program	\$ 3,761
Alameda	Albany	Ohlone Greenway Trail Safety Improvements	\$ 410
San Francisco	SFMTA	6th Street Pedestrian Safety Project	\$ 6,000
Santa Clara	San Jose	Willow-Keyes Complete Streets Improvements <i>(Partial)</i>	\$ 12,926
Sonoma	SMART	SMART Pathway - Petaluma to Santa Rosa	\$ 12,574
<b>TOTAL:</b>			<b>\$36,670</b>

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**Regional ATP Cycle 4 Contingency List (in descending score order)**

County	Implementing Agency	Project	Regional ATP
Santa Clara	San Jose	Willow-Keyes Complete Streets Improvements <i>(Remaining Amount)</i>	\$ 3,612
Alameda	ACTC	East Bay Greenway: San Leandro BART to South Hayward BART <i>(PS&amp;E)</i>	\$ 10,400
Alameda	Berkeley	Milvia Street Bikeway Project	\$ 3,351
Alameda	ACPW	San Lorenzo Creek Multi-Use Trail	\$ 6,200
Contra Costa	City of Concord	Downtown Corridors Bicycle and Pedestrian Improvement Project	\$ 2,962
San Francisco	SFMTA	Hairball Intersection Improvements Phase 2	\$ 2,646
Santa Clara	Santa Clara County	Healthy, Safe and Active South Santa Clara County	\$ 2,698
Marin	San Rafael	Francisco Blvd W. Multi-use Pathway Gap Closure	\$ 3,184
Contra Costa	Richmond	Complete Streets: Harbour Way Bicycle and Pedestrian Improvements	\$ 3,768
<b>TOTAL:</b>			<b>\$38,821</b>

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# APPENDIX A – 18

## *Regional Policies: Project Funding and Specific Funding Programs*

**Active Transportation Program (ATP) Cycle 5  
Regional Program Guidelines and  
Program of Projects for the San Francisco Bay Area  
MTC Resolution No. 4403**



Date: February 26, 2020  
W.I.: 1515  
Referred by: PAC  
Revised: 05/27/20-C

ABSTRACT

Resolution No. 4403, Revised

This resolution adopts the Active Transportation Program (ATP) Regional Program Cycle 5 Guidelines for the San Francisco Bay Area, for submission to the California Transportation Commission (CTC), consistent with the provisions of Senate Bill 99 and Assembly Bill 101.

This resolution includes the following attachments:

Attachment A – Guidelines: Policies, Procedures, and Project Selection Criteria

Attachment B – 2021 Regional ATP Program of Projects

This resolution was revised by Commission action on May 27, 2020, to update Attachment A with the revised application deadline and programming milestones in response to Executive Order N-33-20, the COVID-19 State of Emergency.

Further discussion of these actions is contained in the Summary Sheet to the MTC Programming and Allocations Committee dated February 12, 2020 and May 13, 2020.

Date: February 26, 2020  
W.I.: 1515  
Referred by: PAC

RE: Adoption of Regional Active Transportation Program (ATP) Cycle 5 Guidelines and Program of Projects

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4403

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 *et seq.*; and

WHEREAS, MTC has adopted and periodically revises, pursuant to Government Code Sections 66508 and 65080, a Regional Transportation Plan (RTP); and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county San Francisco Bay Area region and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes federal funds; and

WHEREAS, MTC is the designated recipient for federal funding administered by the Federal Highway Administration (FHWA) assigned to the MPO/Regional Transportation Planning Agency (RTPA) of the San Francisco Bay Area for the programming of projects (regional federal funds); and

WHEREAS, the California State Legislature passed and the Governor signed into law Senate Bill 99 (Chapter 359, Statutes 2013) and Assembly Bill 101 (Chapter 354, Statutes 2013), establishing the Active Transportation Program (ATP); and

WHEREAS, MTC adopts, pursuant to Streets and Highways Code Section 2381(a)(1), an Active Transportation Program of Projects using a competitive process consistent with guidelines adopted by the California Transportation Commission (CTC) pursuant to Streets and Highways Code Section 2382(a), that is submitted to the CTC and the California Department of Transportation (Caltrans); and

WHEREAS, MTC has developed, in cooperation with CTC, Caltrans, operators of publicly owned mass transportation services, congestion management agencies, countywide transportation planning agencies, and local governments, guidelines to be used in the development of the ATP; and

WHEREAS, a multi-disciplinary advisory group evaluates and recommends candidate ATP projects for MTC inclusion in the Active Transportation Program of Projects; and

WHEREAS, the ATP is subject to public review and comment; now, therefore, be it

RESOLVED, that MTC approves the guidelines to be used in the evaluation of candidate projects for inclusion in the ATP, as set forth in Attachment A of this resolution, and be it further

RESOLVED, that MTC approves the Active Transportation Program of Projects, as set forth in Attachment B of this resolution, and be it further

RESOLVED that the Executive Director or designee can make technical adjustments and other non-substantial revisions; and be it further

RESOLVED, that the Executive Director shall forward a copy of this resolution, and such other information as may be required to the CTC, Caltrans, and to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Scott Haggerty, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in San Francisco, California, on February 26, 2020.

Date: February 26, 2020  
W.I.: 1515  
Referred by: PAC  
Revised: 05/27/20-C

Attachment A  
Resolution No. 4403  
Page 1 of 14

# **2021 Regional Active Transportation Program (ATP)**

**Cycle 5**

**Guidelines**

**February 26, 2020  
Revised: May 27, 2020**

**MTC Resolution No. 4403  
Attachment A**

**Metropolitan Transportation Commission  
Programming and Allocations Section  
<http://mtc.ca.gov/our-work/fund-invest>**

Date: February 26, 2020  
W.I.: 1515  
Referred by: PAC  
Revised: 05/27/20-C

Attachment A  
Resolution No. 4403  
Page 2 of 14

**2021 Regional Active Transportation Program (ATP) Cycle 5  
Guidelines  
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## 2021 Regional Active Transportation Program Cycle 5 Guidelines

### **Background**

In September 2013, the Governor signed Senate Bill 99 (Chapter 359, Statutes 2013) and Assembly Bill 101 (Chapter 254, Statutes 2013) into law, creating the Active Transportation Program (ATP). The State envisions the ATP to consolidate several other funding sources intended to promote active transportation, such as the Bicycle Transportation Account and Transportation Alternatives Program, into a single program.

State and federal law segregate ATP funds into three main components, distributed as follows:

- 50% to the state for a statewide competitive program
- 10% to the small urban and rural area competitive program to be managed by the state
- 40% to the large urbanized area competitive program, with funding distributed by population and managed by the Metropolitan Planning Organization (MPO) – hereinafter referred to as the “Regional Active Transportation Program”

The California Transportation Commission (CTC) developed guidelines for the Cycle 5 ATP and approved them on March 25, 2020. The CTC Guidelines lay out the programming policies, procedures, and project selection criteria for the statewide competitive program, as well as for the small urban/rural and large MPO regional competitive programs. Large MPOs, such as MTC, have the option of developing regional policies, procedures, and project selection criteria that differ from those adopted by CTC, provided CTC approves the regional guidelines.

This document serves as MTC’s Cycle 5 Regional ATP Guidelines that substantially follow those of the CTC, but include some differences based on the region’s existing policies and priorities. MTC adopted these Guidelines for the MTC Regional Active Transportation Program on February 26, 2020 and approved by the CTC on March 25, 2020.

### **Development Principles**

The following principles will frame the development of MTC’s Regional ATP.

- MTC will work with CTC staff, Caltrans, Bay Area County Transportation Agencies (CTAs), transit operators, regional Active Transportation Working Group, and interested stakeholders to develop the Regional Active Transportation Program.
- ATP investments must advance the objectives of the Regional Transportation Plan (RTP)/Sustainable Communities Strategy.
- MTC will exceed the State’s 25% minimum programming requirement to projects benefiting disadvantaged communities.
- MTC will continue to work with Caltrans, CTAs, transit operators, and project sponsors to seek efficiencies and streamlining for delivering projects in the federal-aid process.
- MTC will continue to advocate that all project savings and un-programmed balances remain within the ATP program rather than redirected to the State Highway Account, and specifically that savings

and balances in the 40% Large MPO programs remain within the regional programs, consistent with federal guidance on the Transportation Alternative Program (TAP).

- MTC will not penalize project applicants for previous project delivery issues outside of the sponsor's control.

### **CTC Guidelines**

The CTC adopted the Statewide ATP Guidelines on March 25, 2020, and are available at <https://catc.ca.gov/programs/active-transportation-program>. The approved CTC Guidelines for the Active Transportation Program, as posted on the CTC website, are incorporated in MTC's Regional ATP Guidelines via this reference. All project sponsors are required to follow both the MTC and CTC ATP Guidelines in the development and implementation of the Regional ATP.

### **ATP Development Schedule**

The development of the ATP will follow the schedule outlined in Appendix A-1 of this guidance, which is subject to change.

### **ATP Regional Shares**

Appendix A-2 of this guidance provides the MTC regional shares for Cycle 5 of ATP funding (FY 2021-22 through FY 2024-25), consistent with the ATP Fund Estimate approved by the CTC on March 25, 2020. Appendix A-2 also includes the State's 25% minimum programming requirement to projects benefiting disadvantaged communities.

### **Public Involvement Process**

In developing the ATP, MTC is committed to a broad, inclusive public involvement process consistent with MTC's Public Participation Plan, available at <http://mtc.ca.gov/about-mtc/public-participation/public-participation-plan>.

### **ATP Projects in the Transportation Improvement Program (TIP)**

Consistent with state and federal requirements, ATP funded projects must be programmed in the TIP before seeking a CTC allocation. Selected projects must complete and submit a Fund Management System (FMS) application by June 1, 2021, to be included in the TIP. In addition, MTC requires that a federal Request for Authorization (RFA) be submitted simultaneously with the ATP allocation request to Caltrans and CTC when the ATP project includes federal funds. Unless a state-only funding exception is granted, ATP funds will contain federal funds. Therefore, projects must receive a CTC allocation and a federal authorization to proceed before the expenditure of eligible costs or advertisement of contract award.

### **Deviations from Statewide Policies**

Below are MTC-region specific policies as they apply to the Regional Active Transportation Program. These policies differ from CTC's Guidelines.



**1. Application Process and Additional Regional Screening/Evaluation Criteria**

MTC elects to hold a separate call for projects for the Regional Active Transportation Program and has additional evaluation and screening criteria. Further information on these changes, as well as instructions for the application process, are detailed later in this guidance.

Project sponsors may apply for either the State ATP program or Regional ATP program, or to both. Sponsors applying to the State ATP program, the Regional ATP program, or both the state and regional programs must submit a copy of their state application to MTC. To be considered for the regional program, including consideration if unsuccessful in the statewide program, applicants must meet all regional requirements and submit a regional application by the application deadline.

**2. Definition, Evaluation, and Funding Minimum for Disadvantaged Communities**

*Definition*

The MTC region has already adopted a measure to define Disadvantaged Communities (DACs) known as “Communities of Concern”. MTC updated the Communities of Concern (COCs) definition in January 2016 as a part of the *Plan Bay Area 2040* Equity Framework. To meet the State’s 25% DAC minimum requirement in the Regional ATP, MTC elects to use MTC’s COC definition.

MTC’s Communities of Concern are defined as those census tracts that have a concentration of both minority and low-income households, or that have a concentration of 3 or more of the remaining 6 factors below (#3 to #8), but only if they also have a concentration of low-income households. The concentration thresholds for these factors are described below.

<b>Disadvantage Factor</b>	<b>% of Regional Population</b>	<b>Concentration Threshold</b>
1. Minority Population	58%	70%
2. Low Income (<200% of Poverty) Population	25%	30%
3. Limited English Proficiency Population	9%	20%
4. Zero-Vehicle Households	10%	10%
5. Seniors 75 Years and Over	6%	10%
6. People with Disability	9%	25%
7. Single-Parent Families	14%	20%
8. Severely Rent-Burdened Households	11%	15%

Based on this definition, 22% of the region’s population is located in Communities of Concern. MTC’s Communities of Concern definition of Disadvantaged Communities meets the State’s legislative intent and has already been in use in the MTC region for planning and programming purposes.

Additional discussion of the Communities of Concern definition and methodology are included in the *Plan Bay Area 2040 Equity Analysis Report*, available online at <https://www.planbayarea.org/2040-plan/plan-details/equity-analysis>. Information regarding the 2016 update is available online at <https://mtc.legistar.com/View.ashx?M=F&ID=4216456&GUID=42E0CBF3-9490-4A6D-A6A6-B04003451057>. The last link also includes a static map of the COC locations. An interactive online map is available at <https://arcg.is/1aeHq>.

#### *Community-Based Transportation Plans (CBTPs)*

The Community-Based Transportation Planning Program is a collaborative planning process that involves residents in low-income Bay Area communities, community- and faith-based organizations that serve them, transit operators, CTAs, and MTC. Each plan includes locally identified transportation needs, as well as solutions to address them. Each plan reflects the objectives of the program, which are to:

- emphasize community participation in prioritizing transportation needs and identifying potential solutions;
- foster collaboration between local residents, community-based organizations, transit operators, CTAs, and MTC; and
- build community capacity by involving community-based organizations in the planning process.

Project findings are forwarded to applicable local or county-level policy boards, as well as to MTC, for consideration in planning, funding, and implementation discussions.

#### *Vision Zero Policy or Bike and Pedestrian Safety Policy or Plan*

Vision Zero is a traffic safety policy that takes an ethical approach toward achieving safety for all road users, setting the goal of zero traffic fatalities or severe injuries. Vision Zero policies maintain that traffic deaths and severe injuries are preventable and focus attention on the shortcomings of the transportation system itself, including the built environment, policies, and technologies that influence behavior. Vision Zero sets the highest level of responsibility on the system designers – transportation planners and engineers, policymakers, police, etc. Each Vision Zero policy contains five core resolutions:

- Traffic deaths and severe injuries are acknowledged to be preventable.
- Human life and health are prioritized within all aspects of transportation systems.
- Acknowledgment that human error is inevitable and transportation systems should be forgiving.
- Safety work should focus on systems-level changes above influencing individual behavior.
- Speed is recognized and prioritized as the fundamental factor in crash severity.

Alternatively, jurisdictions may adopt policies or a plan addressing bicycle and pedestrian safety, in the spirit of Vision Zero.

MTC elects to change the statewide application's scoring point value for Disadvantaged Communities, assigning the value to 60% of the statewide scoring value. Twenty percent of the statewide scoring value will be awarded for projects within a jurisdiction (city or county) with a Vision Zero or Bike and Pedestrian Safety Policy or Plan, and the remaining twenty percent to projects identified in an approved Community-Based Transportation Plan (CBTP) or similar. The applicant will provide proof of Vision Zero safety policy or plan adopted by resolution and CBTP consistency in the supplemental regional application.

### **3. Match Requirement**

The CTC Guidelines do not require a match for Statewide ATP project nominations. The CTC Guidelines allow MPOs to define different match requirements for the Regional ATP.

Differing from CTC Guidelines, MTC elects to impose a local match requirement for the regional ATP of 11.47%, with match waivers for projects benefiting Disadvantaged Communities, stand-alone non-infrastructure projects, and safe routes to schools projects. As an added provision, a project sponsor may request the local match requirement be waived for the construction phase of an infrastructure project if the pre-construction phases are entirely funded using non-federal and non-ATP funds. This provision minimizes the number of federalized phases requiring an E-76 through Caltrans Local Assistance.

### **4. Large Funding Requests**

MTC intends to fund a variety of projects across the region. If an ATP application request is larger than \$10 million, the applicant must provide evidence that the project can be scaled or segmented and can deliver commensurate benefits. A smaller segment of the project may be selected for funding if there is not enough funding available for the full request. The applicant will provide an explanation of scalability in the supplemental regional application. MTC will not consider an application requesting more than \$10 million scalability explanation.

### **5. Contingency Project List**

MTC will adopt a list of projects for programming the Regional ATP that is financially constrained against the amount of ATP funding available (as identified in the approved ATP Fund Estimate). In addition, MTC will include a list of contingency projects, ranked in priority order based on the project's evaluation score. MTC intends to fund projects on the contingency list should there be any project failures or savings in the Cycle 5 Regional ATP. This list will ensure that MTC will fully program all regional ATP funds and that no ATP funds are lost to the region. The contingency list is valid until the adoption of the next ATP Cycle.

## **Application Process**

### **Project Application**

Upon CTC's concurrence of MTC's Regional ATP Guidelines, MTC will issue a call for projects for the Regional Active Transportation Program. Project sponsors must complete an application for

each project proposed for funding in the ATP, consisting of the items included in Appendix A-3 of this guidance. Project sponsors must use the Project Programming Request (PPR) forms provided by Caltrans for all projects. The PPR must be submitted electronically in Microsoft Excel format for upload into the regional and statewide databases. All application materials, in the form of 3 hard copies and 1 electronic copy must be received by MTC or postmarked no later than September 15, 2020, to be considered.

### **Additional Project Screening Criteria, Including Readiness**

In addition to the CTC Guidelines, all projects included in the ATP must meet the following screening criteria.

- A. Prohibition of Multiple Phases in the Same Year.** Project sponsors must provide sufficient time between the scheduled allocation of environmental funds and the start of design, right of way or construction. Therefore, projects may not have more than one phase programmed per fiscal year, except for the design and right of way phases, which may be programmed in the same fiscal year. Exceptions may be made on a case-by-case basis.
- B. Deliverability.** Project sponsors must demonstrate they can meet the delivery timeframe of the Active Transportation Program. Projects that can be delivered (receive a CTC allocation and federal authorization to proceed for federal funds) earlier shall receive priority for funding over other projects. As specified in MTC's Regional Project Delivery Policy (MTC Resolution No. 3606, Revised), sponsors must receive the CTC allocation and receive the federal authorization to proceed (E-76 / federal obligation) for federally funded projects by January 31 of the programmed fiscal year. There are no extensions to these regional delivery deadlines.
- C. One Bay Area Grant (OBAG) 2 Requirements.**
  - a. Consistency with OBAG 2 Housing Element Requirement. Jurisdictions (cities and counties) must have a general plan housing element adopted and certified by the California Department of Housing and Community Development (HCD) for 2014-2022 RHNA by May 31, 2015. Jurisdictions that have failed to meet this deadline must have their housing elements certified by HCD by June 30, 2016, to be eligible to receive ATP funding. Furthermore, under state statute, jurisdictions are required to submit Housing Element Annual Reports by April 1 every year. All cities and counties receiving ATP funding must comply with this requirement during the entire ATP funding period or risk deprogramming of ATP funding.
  - b. Consistency with OBAG 2 Complete Streets Policy. Complete Streets are an essential part of promoting active transportation. To that end, project sponsors must supply documentation that the jurisdiction(s) in which the project is located meets the OBAG Complete Streets Policy by September 15, 2020. The policy may be met by the jurisdiction, either having updated the General Plan after January 1, 2010, to be consistent with the Complete Streets Act of 2008 or adopting a complete streets policy

resolution incorporating MTC's complete streets requirements. For further information regarding MTC's OBAG Complete Streets Policy, refer to the OBAG 2 website at <http://mtc.ca.gov/our-work/fund-invest/federal-funding/obag-2>. A sample complete streets policy resolution is available at [http://mtc.ca.gov/sites/default/files/OBAG\\_2\\_Reso\\_Guidance\\_Final.pdf](http://mtc.ca.gov/sites/default/files/OBAG_2_Reso_Guidance_Final.pdf)

**D. Transit Agency Coordination.** Applicants must demonstrate coordination with affected transit agencies in the supplemental regional application. Evidence of coordination should be in the form of a support letter or other discussion showing coordination with affected transit operators. Projects that do not impact transit operations should indicate "no impact." Otherwise, an application may be disqualified based on a lack of coordination with affected transit operators.

#### **Additional Project Evaluation Criteria**

MTC will use the CTC project evaluation criteria as outlined in the CTC Guidelines, with additional points and criteria for the Regional Active Transportation Program. The additional criteria and point values are:

- **Consistency with Regional Priorities and Planning Efforts. (0 to 7 points)**  
Applicants shall describe the project's consistency with previously-approved regional priorities, and how the project supports *Plan Bay Area 2040*. MTC staff will award points for the degree of the proposed project's consistency with regional priorities, such as:
  - Consistency with *Plan Bay Area 2040*'s Healthy and Safe Community goals & Transportation Demand Management strategies.
  - Consistency with MTC's Spare the Air Youth & Safe Routes to School Program, making it safer and easier for students and teachers to walk or bike to school.
  - Bay Trail build-out
  - Regional Bike Network build-out
  - Gap closures in the Regional Bike Network
  - Multi-jurisdictional projects
  - Applications only requesting construction phase funds
  - Demonstration of meeting regional project delivery requirements
  - Prior ATP cycle programming
- **Completion of Approved Environmental Document. (0 or 3 points)**  
While the Active Transportation Program may fund pre-construction phases of projects, including the environmental document phase, the region prefers projects which are environmentally cleared in order to promote certainty in project delivery and project scope. Applicants that provide evidence of an approved environmental document consistent with the California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) will receive additional points. If requesting state-only funding, only CEQA documentation is required. Evidence may be provided by the following methods:
  - Photocopy of the approved environmental document cover and executive summary;
  - Link to the approved environmental document available online;

- Full soft copy of the environmental document provided on the electronic copy of the application;
- Documentation from Caltrans regarding environmental approval; and/or
- Other Council/Board action, such as resolutions and/or Planning Department approval of the environmental document.

This provision does not apply to planning activities or stand-alone non-infrastructure projects, which receive the full points to this criterion regardless of environmental status at the time of application. These projects must still follow any applicable CEQA and NEPA requirements to receive ATP funding.

- **Countywide Plans/Goals Consistency Determination. (0 or -2 point)**  
Following the application due date, MTC will share the received applications with the CTAs. The CTAs will review the applications for consistency with adopted countywide transportation plans, active transportation plans, and/or other countywide goals, as applicable. The CTAs will provide MTC a list of projects determined to be inconsistent with countywide plans and/or goals no later than February 1, 2021. Inconsistent projects will receive a 2 point penalty; consistent projects will be held harmless.
- **Deliverability Determination. (0 or -5 points)**  
MTC staff will review each application's project delivery schedule for the ability to meet regional deadlines as described in MTC Resolution No. 3606, Revised. Projects that are deemed unable to allocate ATP funds within the four programming years of Cycle 5 (FY 2021-22 through FY 2024-25) shall receive a 5 point penalty. Projects that are deemed able to allocate within the four programming years of Cycle 5 will be held harmless.

### **Additional Regional Policies**

#### **Title VI Compliance**

Investments made in the ATP must be consistent with federal Title VI requirements. Title VI prohibits discrimination on the basis of race, color, disability, and national origin in programs and activities receiving federal financial assistance.

#### **MTC Resolution No. 3606 Compliance – Regional Project Delivery Policy**

The CTC ATP Guidelines establish timely use of funds and project delivery requirements for ATP projects. Missing critical milestones could result in deletion of the project from the ATP, and a permanent loss of funds to the region. Therefore, these timely use of funds deadlines must be considered in programming the various project phases in the ATP. While the CTC Guidelines provide some flexibility with respect to these deadlines by allowing for deadline extensions under certain circumstances, the CTC is very clear that deadline extensions will be the exception rather than the rule. MTC Resolution No. 3606 details the Regional Project Delivery Policy for regional discretionary funding, which may be more restrictive than the State's delivery policy. All projects in the regional ATP are subject to the Regional Project Delivery Policy (MTC Resolution 3606), including the adoption of a Resolution of Local Support for selected projects by April 1, 2021. For additional information, refer to <http://mtc.ca.gov/our-work/fund-invest/federal-funding/project-delivery>.

**MTC Resolution No. 3765 Compliance – Complete Streets Checklist**

MTC's Resolution No. 3765 requires project sponsors to complete a checklist that considers the needs of bicycles and pedestrians for applicable projects. The Complete Streets Checklist (also known as "Routine Accommodations Checklist") is available through MTC's website online at <http://mtc.ca.gov/our-work/plans-projects/bicycle-pedestrian-planning/complete-streets>.

Furthermore, it is encouraged that all bicycle projects programmed in the ATP support the Regional Bicycle Network and county-wide bicycle plans. Guidance on considering bicycle transportation can be found in MTC's 2009 Regional Bicycle Plan (a component of Transportation 2035) and Caltrans Deputy Directive 64. MTC's Regional Bicycle Plan, containing federal, state, and regional policies for accommodating bicycles and non-motorized travel, is available on MTC's Web site at:

<http://mtc.ca.gov/our-work/plans-projects/bicycle-pedestrian-planning>.

<b>METROPOLITAN TRANSPORTATION COMMISSION (MTC)</b> <b>2021 Regional Active Transportation Program (rATP) Cycle 5</b> <b>Appendix A-1: ATP Development Schedule (Subject to Change)</b> <b>May 13, 2020</b>	
January 2020	CTC released draft ATP Guidelines
January 2020	Draft Regional ATP Guidelines presented to Working Groups
February 12, 2020	MTC Programming and Allocations Committee (PAC) review and recommendation of final Regional ATP Guidelines
February 26, 2020	MTC Commission adoption of Regional ATP Guidelines MTC submits adopted Regional ATP Guidelines to CTC for consideration
March 25, 2020	<b>CTC adoption of State ATP Guidelines</b> <b>CTC adoption of MTC's Regional ATP Guidelines</b>
March 26, 2020	<b>CTC released ATP Call for Projects for Statewide Competitive Program</b> <b>MTC released ATP Call for Projects for Regional Program</b>
<del>June 15, 2020</del> July 15, 2020	<b>State Quick-build Pilot Program Applications Due to CTC (Statewide Program)</b>
<del>June 15, 2020</del> September 15, 2020	<b>State ATP Applications Due to CTC (Statewide Program)</b> <b>Regional ATP Applications Due to MTC (Regional Program)</b>
September 15, 2020	CTC releases staff recommendation for ATP Statewide Quick-build Pilot Program
December 2, 2020	<b>ATP Statewide Quick-build Pilot Program Adoption:</b> CTC scheduled to adopt the statewide quick-build pilot program
<del>October 31, 2020</del> February 15, 2021	CTC releases staff recommendation for ATP Statewide Competitive Program
<del>December 2, 2020</del> March, 2021	<b>ATP Statewide Program Adoption:</b> CTC scheduled to adopt the statewide program and transmit unsuccessful projects to the Regions for consideration
<del>December 16, 2020</del> March 31, 2021	MTC releases staff recommendation for ATP Regional Program
<del>January 2021</del> April 2021	Working Group discussions of staff recommendations
<del>January 13, 2021</del> April 13, 2021	MTC Programming and Allocation Committee (PAC) scheduled review and recommendation of final ATP Regional Program
<del>January 27, 2021</del> April 28, 2021	<b>ATP Regional Program Adoption:</b> MTC Commission scheduled approval of ATP regional program and transmittal to CTC for consideration
<del>April 1, 2021</del> June 1, 2021	<b>TIP Amendment Deadline:</b> Successful ATP project sponsors to submit 2021 TIP Amendment, including Resolution of Local Support
<del>March 15, 2021</del> June 2021	<b>CTC Approval of ATP Regional Program</b>
January 31, 2022	Allocation/Obligation Deadline for Regional ATP projects programmed in FY 2021-22
January 31, 2023	Allocation/Obligation Deadline for Regional ATP projects programmed in FY 2022-23
January 31, 2024	Allocation/Obligation Deadline for Regional ATP projects programmed in FY 2023-24
January 31, 2025	Allocation/Obligation Deadline for Regional ATP projects programmed in FY 2024-25

Shaded Area – Actions by State, CTC or Caltrans



**Metropolitan Transportation Commission (MTC)  
 2021 Regional Active Transportation Program (ATP) Cycle 5**

*Based on CTC ATP Fund Estimate adopted on 3/25/2020*

**Appendix A-2: MTC ATP Regional Share Targets**

**Cycle 5 Program - FY 2021-22 through FY 2024-25**

*ATP Regional Share*

All numbers in thousands

<b>Fund Source</b>	<b>FY 2021-22</b>	<b>FY 2022-23</b>	<b>FY 2023-24</b>	<b>FY 2024-25</b>	<b>Total</b>
Federal STBG (TAP)			\$5,484	\$5,484	\$10,969
Federal Other			\$1,907	\$1,907	\$3,815
State	\$8,045	\$8,045			\$16,090
SB1			\$3,066	\$3,066	\$6,132
<b>Total ATP Regional Share</b>	<b>\$8,045</b>	<b>\$8,045</b>	<b>\$10,458</b>	<b>\$10,458</b>	<b>\$37,005</b>

*State's 25% Disadvantaged Communities Minimum Requirement*

<b>Classification</b>	<b>FY 2021-22</b>	<b>FY 2022-23</b>	<b>FY 2023-24</b>	<b>FY 2024-25</b>	<b>Total</b>
25% - Benefiting Disadvantaged Communities	\$2,011	\$2,011	\$2,614	\$2,614	\$9,251
75% - Anywhere in the Region	\$6,034	\$6,034	\$7,843	\$7,843	\$27,754
<b>Total ATP Regional Share</b>	<b>\$8,045</b>	<b>\$8,045</b>	<b>\$10,458</b>	<b>\$10,458</b>	<b>\$37,005</b>

**METROPOLITAN TRANSPORTATION COMMISSION (MTC)**  
**2021 Regional Active Transportation Program (ATP) Cycle 5**

**Appendix A-3: Regional ATP Project Application**

Project sponsors must submit a completed project application for each project proposed for funding in the Regional Active Transportation Program. The application consists of the following parts and are available on the Internet (as applicable) at: <http://mtc.ca.gov/atp>

1. Cover letter on Agency letterhead signed by the applicant's Chief Executive Officer or other officer authorized by the applicant's governing board
  - a. If the proposed project is implemented by an agency other than the project sponsor, documentation of the agreement between the two entities must be included
  - b. If proposing matching funds, the letter should include confirmation that these matching funds are available for the proposed project
2. Project application forms
  - a. Statewide ATP Application Form, available at <https://dot.ca.gov/programs/local-assistance/fed-and-state-programs/active-transportation-program/cycle5>
  - b. Regional ATP Supplemental Application Form, available at <http://mtc.ca.gov/atp>, including back-up documentation, as applicable, such as:
    - i. Community of Concern benefit evidence
    - ii. Scalability plan for applications requesting more than \$10 million.
    - iii. Environmental Documentation certification evidence (CEQA and NEPA, if requesting federal funds)
    - iv. OBAG 2 Complete Streets Policy and Housing Element compliance
    - v. Vision Zero Policy or Bike and Pedestrian Safety Policy or Plan evidence
    - vi. Community-Based Transportation Plan evidence
    - vii. Transit Agency Coordination evidence
3. Project Programming Request (PPR) form
  - a. Available at: <https://dot.ca.gov/programs/transportation-programming/office-of-capital-improvement-programming-ocip>
4. Complete Streets Checklist
  - a. Available at: <http://mtc.ca.gov/our-work/plans-projects/bicycle-pedestrian-planning/complete-streets>
  - b. Not necessary for Planning or Non-Infrastructure projects.

Note: Selected projects are also required to provide a Resolution of Local Support for the project no later than June 1, 2021.

Attachment B  
 Metropolitan Transportation Commission  
 2021 Active Transportation Program (ATP)  
 Cycle 5  
 FY 2021-22 through FY 2024-25  
 Regional ATP Cycle 5 Program of Projects

MTC Resolution No. 4403  
 Attachment B  
 Adopted: 02/26/2020-C

**Regional ATP Cycle 5 Projects (in order by county)**

County	Implementing Agency	Project	Regional ATP
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
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			\$ -
			\$ -
			\$ -
			\$ -
<b>TOTAL:</b>			<b>\$0</b>

J:\PROJECT\Funding\ATP\Regional ATP\2021 rATP (Cycle 5)\Draft Res 4403\[tmp-4403\_Attachment-B.xlsx]rATP - 2019-12

**Regional ATP Cycle 5 Contingency List (in descending score order)**

County	Implementing Agency	Project	Regional ATP
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
			\$ -
<b>TOTAL:</b>			<b>\$0</b>

J:\PROJECT\Funding\ATP\Regional ATP\2021 rATP (Cycle 5)\Draft Res 4403\[tmp-4403\_Attachment-B.xlsx]rATP - 2019-12

# APPENDIX A – 19

## *Regional Policies: Project Funding and Specific Funding Programs*

**San Francisco Bay Area Transit Capital Priorities  
(FTA Sections 5307, 5337 and 5339)  
Process and Criteria  
for FY 2016-17 thru FY 2019-20  
MTC Resolution No. 4242**



Date: July 27, 2016  
W.I.: 1512  
Referred By: PAC  
Revised: 12/21/16-C  
12/20/17-C  
05/22/19-C

ABSTRACT

Resolution No. 4242, Revised

This resolution approves the process and establishes the criteria for programming:

- Federal Transit Administration (FTA) Sections 5307 Urbanized Area Formula, 5337 State of Good Repair, and 5339 Bus & Bus Facilities formula funds apportioned to the San Francisco Bay Area in FY2016-17 through FY2019-20,
- Federal Highway Administration STP and CMAQ funds dedicated to Transit Capital Rehabilitation and Transit Priorities projects by the One Bay Area Grant Program (MTC Resolution Nos. 4035 and 4202), and
- Bridge tolls and other regional revenues dedicated to transit capital projects by the Core Capacity Challenge Grant Program (MTC Resolution 4123), and
- Proceeds of financing required to advance future FTA or STP/CMAQ revenues to fund annual TCP or CCCGP programs of projects.

This resolution includes the following attachment:

Attachment A - San Francisco Bay Area Transit Capital Priorities Process and Criteria  
for FY2016-17 through FY2019-20

This resolution was revised on December 21, 2016 to add double-decker buses and low-floor cut-away vehicles to the vehicle list, correct errors to the ADA set-aside percentages, clarify the process for setting zero emission bus prices and implementing the Transit Asset Management Rule, and adjust the program development schedule.

This resolution was revised on December 20, 2017 to make changes to the time period for the second cycle of the grant spend-down policy.

This resolution was revised on May 22, 2019 to update the ADA Set-Aside tables for FY2018-19 and FY2019-20 consistent with the Policy and Procedures set forth for those tables.

Further discussion of the Transit Capital Priorities Policy is contained in the MTC Programming and Allocations Committee Summary Sheets dated July 13, 2016, December 14, 2016, December 13, 2017, and May 8, 2019.

Date: July 27, 2016  
W.I.: 1512  
Referred By: PAC

RE: San Francisco Bay Area Transit Capital Priorities Process and Criteria for FY2016-17 through FY2019-20

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4242

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Sections 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county Bay Area and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes a list of priorities for transit capital projects; and

WHEREAS, MTC has worked cooperatively with the cities, counties and transit operators in the region to establish a process and a set of criteria for the selection of transit capital projects to be included in the TIP; and

WHEREAS, the process and criteria to be used in the selection and ranking of projects are set forth in Attachment A, which is incorporated herein as though set forth at length; now, therefore, be it

RESOLVED, that MTC approves the Transit Capital Priorities (TCP) Process and Criteria as set forth in Attachment A; and, be it further

RESOLVED, that MTC will use the process and criteria to program Federal Transit Administration (FTA) Sections 5307, 5337 and 5339 funds or any successor programs for FY2016-17 through FY2019-20, Federal Highway Administration STP and CMAQ funds dedicated to Transit Capital Rehabilitation and Transit Priorities projects by the One Bay Area Grant Program (MTC Resolution Nos. 4035 and 4202), bridge tolls and other regional revenues dedicated to transit capital projects by the Core Capacity Challenge Grant Program (MTC Resolution 4123), and proceeds of financing required to advance future FTA or STP/CMAQ revenues to fund annual TCP programs of projects to finance transit projects in the San Francisco Bay Area region; and, be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to forward a copy of this resolution to the Federal Transit Administration (FTA), and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION



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Dave Cortese, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in San Francisco, California on July 27, 2016.



Date: July 27, 2016  
W.I.: 1512  
Referred By: PAC  
Revised: 12/21/16-C  
12/20/17-C  
05/22/19-C

Attachment A  
Resolution No. 4242  
Page 1 of 49

**San Francisco Bay Area Transit Capital Priorities Process Criteria for FY2016-17 through  
FY2019-20**

**For Development of the FY2016-17 through FY2019-20  
Transit Capital Priorities and Transit Performance Initiative Project Lists**

Metropolitan Transportation Commission  
Bay Area Metro Center  
375 Beale Street, Suite 800  
San Francisco, CA 94105

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## I. BACKGROUND

The Transit Capital Priorities (TCP) Process and Criteria applies to the programming of:

- Federal Transit Administration (FTA) Sections 5307 Urbanized Area Formula, 5337 State of Good Repair, and 5339 Bus & Bus Facilities formula funds apportioned to the San Francisco Bay Area in FY2016-17 through FY2019-20,
- Federal Highway Administration STP and CMAQ funds dedicated to Transit Capital Rehabilitation and Transit Priorities projects by the One Bay Area Grant Program (MTC Resolution Nos. 4035 and 4202), and
- Bridge tolls and other regional revenues dedicated to transit capital projects by the Core Capacity Challenge Grant Program (MTC Resolution No. 4123), and
- Financing required to advance future FTA or STP/CMAQ revenues to fund annual TCP or CCCGP programs of projects.

The FY2016-17 through FY2019-20 TCP Criteria are the rules, in part, for establishing a program of projects for eligible transit operators in the San Francisco Bay Area Region's large urbanized areas (UA) of San Francisco/Oakland, San Jose, Concord, Santa Rosa, and Antioch; and the small urbanized areas of Vallejo, Fairfield, Vacaville, Napa, Livermore, Gilroy-Morgan Hill, and Petaluma.

On December 4, 2015, President Obama signed the Fixing America's Surface Transportation (FAST) Act into law. The FAST Act provides funding authorizations for FY2016 through FY2020. The Act maintains the same FTA formula programs as the previous authorization, Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21). The FAST Act includes few modifications to FTA programs or policies. These modifications have been included in the TCP Criteria as appropriate.

As of the date of the adoption of the TCP Process and Criteria, FTA has not yet issued revised guidance for the implementation of the its programs that reflects changes to the programs made by the FAST Act. MTC and the Partnership will revisit and recommend updates to the policy if required to conform to future FTA rules and guidance.

In December 2013, MTC adopted Resolution No. 4123 for the Transit Core Capacity Challenge Grant Program (CCCGP), which establishes a policy commitment of approximately \$7.4 billion in federal, state, regional and local funds to high-priority transit capital projects that will improve the capacity and state of good repair of transit services in the urban core of the region. The CCCGP will determine the TCP program amounts for certain projects and sponsors. A more detailed description of the CCCGP is provided on Page 37 of Attachment A to this resolution.

## II. GOALS AND OBJECTIVES

The goal of the TCP Process and Criteria is to fund transit projects that are most essential to the region and consistent with Plan Bay Area, the region's current long-range Regional Transportation Plan (RTP), and Plan Bay Area 2040, the updated RTP currently under development. The TCP Process and Criteria also implements elements of the Transit Sustainability Project recommendation (MTC Resolution No. 4060). Among the region's objectives for the TCP Process and Criteria are to:

*Fund basic capital requirements:* All eligible projects are to be considered in TCP Process and Criteria score order, with emphasis given to the most essential projects that replace and sustain the existing transit system capital plant. MTC will base the list of eligible replacement and expansion projects on information provided by the transit operators in response to a call for projects, or on information provided through the CCCGP. Operator-proposed projects should be based on Short Range Transit Plan (SRTP) service objectives or other board-approved capital plans. Also, after FTA publishes and adopts the final Transit Asset Management (TAM) rule, requests for replacement/rehabilitation of assets should be consistent with FTA-required Transit Asset Management (TAM) plans. All projects not identified as candidates for the TCP Program are assumed to be funded by other fund sources and are so identified in operators' SRTPs or capital plans.

*Maintain reasonable fairness to all operators:* Tests of reasonable fairness are to be based on the total funding available to each operator over a period of time, the level and type of service provided, timely obligation of prior year grants, and other relevant factors. (A proportional share distributed to each operator is specifically not an objective.)

*Complement other MTC funding programs for transit:* MTC has the lead responsibility in programming regional Surface Transportation Program (STP) and Congestion Mitigation-Air Quality (CMAQ) funds, and State Transportation Improvement Program (STIP) funds. Transit capital projects are also eligible for funding under these federal and state programs. Development of the TCP Program of Projects ("TCP Program") will complement the programming of STP, CMAQ, and STIP funds to maximize the financial resources available in order to fund the most essential projects for the San Francisco Bay Area's transit properties.

### **III. FTA FORMULA FUNDS**

#### **A. TCP Application Process**

The Transit Finance Working Group (TFWG) serves as the forum for discussing the TCP Process and Criteria, the TCP POP, and other transit programming issues. Each transit operator in the MTC region is responsible for appointing a representative to staff the Transit Finance Working Group (TFWG). The TFWG serves in an advisory capacity to the MTC Partnership Technical Advisory Committee (PTAC). All major policy revisions and programming-related decisions are to be reviewed with PTAC. In general, the MTC Programming and Allocations Committee and the full Commission take action on the TCP Program and any other transit-related funding programs after the TFWG and PTAC has reviewed them.

#### **Capital Program Submittal**

For the purposes of programming, project sponsors will submit requests for funding in accordance with detailed instructions in MTC's call for projects. The level of detail must be sufficient to allow for MTC to screen and score the project.

#### **Board Approval**

MTC requires that operators seek board approval prior to programming projects in the TIP. The board resolution for FY2016-17 through FY2019-20 programming should be submitted by January 11, 2017, the planned date when the Programming and Allocations Committee will consider the proposed program. If a board resolution cannot be provided by this date due to board meeting schedule constraints, applicants should indicate in a cover memo with their application when the board resolution will be adopted. Appendix 1 is a sample resolution of board support.

#### **Opinion of Counsel**

Project sponsors have the option of including specified terms and conditions within the Resolution of Local Support as included in Appendix 1. If a project sponsor elects not to include the specified language within the Resolution of Local Support, then the sponsor shall provide MTC with a current Opinion of Counsel stating that the agency is an eligible sponsor of projects for the FTA Section 5307, 5337, 5339, and/or STP/CMAQ programs; that the agency is authorized to perform the project for which funds are requested; that there is no legal impediment to the agency applying for the funds; and that there is no pending or anticipated litigation which might adversely affect the project or the ability of the agency to carry out the project. A sample format is provided in Appendix 2.

#### **Screening projects**

MTC staff will evaluate all projects for conformance with the Screening Criteria (Section III) below. Certain requirements must be met for a project to reach the scoring stage of the Transit Capital Priorities process. Operators will be informed by MTC staff if a

project has failed to meet the screening criteria, and will be given an opportunity to submit additional information for clarification.

### **Scoring projects**

MTC staff will only score those projects that have passed the screening process. Based on the score assignment provided in Table 6, MTC staff will inform operators of the score given to each project. Operators may be asked to provide additional information for clarification.

### **Programming Projects/Assigning projects to fund source**

Projects passing screening and scoring criteria will be considered for programming in the TCP Program in the year proposed, however, projects will only be programmed in the Transportation Improvement Program (TIP) if the following conditions are met: 1) funding is available in the year proposed, and 2) funds can be obligated by the operator in the year proposed. Project fund sources will be assigned by MTC staff and will be based on project eligibility and the results of the Multi-County Agreement model.

### **FTA Public Involvement Process and the TIP**

*FTA Public Involvement Process:* To receive an FTA grant, a grant applicant must meet certain public participation requirements in development of the FTA programs. As provided for in FTA Circular 9030.1E (revised January 16, 2014), FTA considers a grantee to have met the public participation requirements associated with the annual development of the Program of Projects when the grantee follows the public involvement process outlined in the FHWA/FTA planning regulations for the TIP. In lieu of a separate public involvement process, MTC will follow the public involvement process for the TIP.

*Annual Programming in the TIP:* MTC, in cooperation with the state and eligible transit operators, is required to develop a TIP for the MTC Region. The TIP is a four-year programming document, listing federally funded transportation projects, projects requiring a federal action, and projects deemed regionally significant. TCP programming in each year of the TIP will be financially constrained to the estimated apportionment level. Programming adjustments in the TIP will be done in consultation with eligible transit operators in the MTC region.

### **Changes to the Transit Capital Priorities Program**

Each year after FTA releases apportionments for its formula funding programs, the preliminary TCP Program for the year will be revised if necessary to fit within the available revenues. The annual program revisions and corresponding amendment to the TIP is referred to as the Program of Projects (POP) Amendment, and finalizes the program for the year.

As part of the POP amendment, project sponsors may also request discretionary amendments to the preliminary program that conform to the TCP Process and Criteria

programming policies. Discretionary amendments may be allowed only in certain circumstances. The following general principles govern changes:

- Amendments are not routine. Any proposed changes will be carefully studied.
- Amendments are subject to MTC and TFWG review.
- Amendments which adversely impact another operator's project will not be included without the prior agreement of other operators to the change.
- Amendments will be acceptable only when proposed changes are within the prescribed financial constraints of the TIP.
- Emergency or urgent projects will be considered on a case-by-case basis as exceptions.

Operators proposing the change must provide relevant information to substantiate the urgency of the proposed amendment. Projects that impede delivery of other projects will be considered only if an agreement can be reached between the affected operators for deferring or eliminating the affected projects from consideration.

Following the POP Amendment for the FY2017-18 program, the program for the final two years, FY2018-19 and FY2019-20, will be reopened and project sponsors will be able to make revisions to the preliminary program that conform to TCP Process and Criteria programming policies in advance of the POP amendment for FY2018-19.

### **Funding Shortfalls**

If final apportionments for the FTA formula programs come in lower than MTC has previously estimated, MTC staff will first redistribute programming to other urbanized areas with surplus apportionments in which the projects are eligible, and, second, negotiate with operators to constrain project costs or defer projects to a future year. If sufficient resolution is not possible, MTC will consider additional information, including project readiness, prior funding (if the project is a phased multi-year project), whether the project had been previously deferred, and the amount of federal funds that each of the concerned operators received in recent years, before making reductions to programming. As a final option for closing any shortfalls, staff may institute an across-the-board reduction in programming, proportionally allocated within each affected urbanized area.

### **Project Review**

Each operator is expected to complete their own Federal grant application using FTA's Transit Award Management System (TrAMS). MTC staff will review grant applications and submit concurrence letters to FTA on behalf of project sponsors as needed.

### **Program Period**

The TCP Criteria will be used to develop a program of projects for FY2016-17 through FY2019-20 FTA Formula Funds. The number of years covered by each TCP policy update

is generally aligned with the years covered by the current federal authorization, and the region typically adopts multi-year programs to help operators with multi-year capital budgeting, and to help the region take a longer-term view of capital replacement needs. With the passage of the FAST Act, MTC is able to develop a four-year policy program to support multi-year capital planning. While the FAST Act is a five-year authorization (FY2016 through FY2020), the TCP Program will cover four years, as the first year of FAST was programmed under the previous TCP Program.

**TCP Policy and Program Development Schedule**

To the extent possible, the region will adhere to the schedule proposed in the table below in developing the FY2016-17 through FY2019-20 TCP program. If a change in the schedule is required, MTC will notify participants of the TCP program development process in a timely fashion.

TCP Policy / Programming	Start Date	Finish/Due Date
TFWG TCP Policy Discussions	March 2016	June 2016
TCP Policy to PAC/Commission	July, 2016	
Call for projects	late July, 2016	September, 2016
Draft Preliminary TCP Program Summary to TFWG	November, 2016	
Draft Preliminary TCP Program to TFWG	December, 2016	
Final Preliminary TCP Program to TFWG	January, 2017	
Preliminary TCP Program to PAC/Commission	February, 2017	
Preliminary TCP Program TIP amendment to PAC/Commission	February, 2017	

**B. Project Eligibility**

**Federal Requirements and Eligibility**

**Federal and State Legislation**

Projects selected will conform to the requirements of the FAST Act, Clean Air Act Amendments of 1990 (CAAA), the California Clean Air Act (CCAA), and the Americans with Disabilities Act (ADA). Project sponsors shall agree to comply with federal law, including all applicable requirements of the FAST Act, CAAA, ADA, Section 504 of the Rehabilitation Act, and Title VI of the Civil Rights Act of 1964, in implementing their Projects.

**Intelligent Transportation Systems (ITS) Architecture Policy**

Project sponsors will be required to meet the Federal Transit Administration’s National ITS Architecture Policy as established by FTA Federal Register Notice Number 66 FR 1455 published January 8, 2001 and as incorporated by the regional architecture policy which can be accessed at: <http://mtc.ca.gov/our-work/operate-coordinate/intelligent-transportation-systems-its>.



### **1% Security Policy**

Project sponsors are also required to meet the FTA 1% security set-aside provisions as established in the FY2004-05 Certifications and Assurances, FTA Federal Register Notice Number 69 FR 62521 published on October 26, 2004, and as it may be refined by FTA in future notifications. An updated circular (FTA Circular 9030.1E - January 16, 2014) includes additional certification requirement by designated recipients at the urbanized area level. As the designated recipient, MTC will review the grant applications for each appropriations year for compliance and certification to FTA. The security programming may not apply to all eligible operators in a UA, depending on need for security projects. Refer to the applicable FTA circulars for additional information.

### **Program Eligibility**

Program eligibility is based on the statutory eligibility for the FTA Section 5307, 5337 and 5339 programs. Following are the program eligibility for each of the three funding programs authorized by the FAST Act. If revisions to eligibility for these programs are adopted as part of reauthorizing legislation of FTA circulars or other guidance issued by FTA, the region will consider conforming amendments to the TCP Process and Criteria.

*FTA Section 5307 Urbanized Area Federally Defined Program Eligibility (Statutory Reference: 49USC5307):* Capital projects; planning; job access and reverse commute projects; and operating costs of equipment and facilities for use in public transportation in urbanized areas with a population of fewer than 200,000, and, in certain circumstances, in urbanized areas with a population greater than 200,000. Eligible capital projects include—

- (A) acquiring, constructing, supervising, or inspecting equipment or a facility for use in public transportation, expenses incidental to the acquisition or construction (including designing, engineering, location surveying, mapping, and acquiring rights-of-way), payments for the capital portions of rail trackage rights agreements, transit-related intelligent transportation systems, relocation assistance, acquiring replacement housing sites, and acquiring, constructing, relocating, and rehabilitating replacement housing;
- (B) rehabilitating a bus;
- (C) remanufacturing a bus;
- (D) overhauling rail rolling stock;
- (E) preventive maintenance;
- (F) leasing equipment or a facility for use in public transportation
- (G) a joint development improvement that meet specified requirements
- (H) the introduction of new technology, through innovative and improved products, into public transportation;

- (I) the provision of nonfixed route paratransit transportation services in accordance with section 223 of the Americans with Disabilities Act of 1990 (42 U.S.C. 12143), under specified circumstances;
- (J) establishing a debt service reserve to ensure the timely payment of principal and interest on bonds issued by a grant recipient to finance an eligible project
- (K) mobility management; and
- (L) associated capital maintenance.

*FTA Section 5337 State of Good Repair Federally Defined Program Eligibility (Statutory Reference: 49USC5337):* Capital projects to maintain fixed guideway and high intensity motorbus public transportation systems in a state of good repair, including projects to replace and rehabilitate—

- (A) rolling stock;
- (B) track;
- (C) line equipment and structures;
- (D) signals and communications;
- (E) power equipment and substations;
- (F) passenger stations and terminals;
- (G) security equipment and systems;
- (H) maintenance facilities and equipment;
- (I) operational support equipment, including computer hardware and software; and
- (J) development and implementation of a transit asset management plan.

The term ‘fixed guideway’ means a public transportation facility:

- (A) using and occupying a separate right-of-way for the exclusive use of public transportation;
- (B) using rail;
- (C) using a fixed catenary system;
- (D) for a passenger ferry system; or
- (E) for a bus rapid transit system.

The term ‘high intensity motorbus’ means public transportation that is provided on a facility with access for other high-occupancy vehicles.

*FTA Section 5339 Bus and Bus Facilities Federally Defined Program Eligibility (Statutory Reference: 49USC5339):* Capital projects—

- (1) to replace, rehabilitate, and purchase buses and related equipment; and
- (2) to construct bus-related facilities.

**Regional Requirements and Eligibility**

**Urbanized Area Eligibility**

Transit operators are required to submit annual reports to the National Transit Database. Service factors reported in large urbanized areas partially determine the amounts of FTA Section 5307, 5337 and 5339 funds generated in the region. MTC staff will work with members of the Partnership to coordinate reporting of service factors in order to maximize the amount of funds generated in the region and to determine urbanized area eligibility. An operator is eligible to claim FTA funds only in designated urbanized areas as outlined in Table 1 below. Eligibility is based on geographical operations, NTD reporting, and agreements with operators.

**Table 1. Urbanized Area Eligibility**

<b>Urbanized Area</b>	<b>Eligible Transit Operators</b>
San Francisco-Oakland	AC Transit, ACE, BART, Caltrain, GGBHTD, Marin County Transit District, SFMTA, SamTrans, Union City Transit, Water Emergency Transportation Authority, WestCAT
San Jose	ACE, Caltrain, VTA
Concord	ACE, BART, CCCTA, LAVTA
Antioch	BART, ECCTA
Santa Rosa	GGBHTD, Santa Rosa City Bus, Sonoma County Transit
Vallejo	Napa Vine on behalf of American Canyon, Solano County Transit
Fairfield	Fairfield-Suisun Transit
Vacaville	Vacaville Transit
Napa	Napa VINE
Livermore	ACE, LAVTA
Gilroy-Morgan Hill	Caltrain, VTA
Petaluma	GGBHTD, Petaluma Transit, Sonoma County Transit

- (i) Altamont Commuter Express (ACE) is eligible to claim funds in four of the San Francisco Bay Area’s urbanized areas according to Federal Transit Administration statute. ACE has entered into an agreement with other operators eligible to claim funds in the San Jose UA, which prevents ACE from claiming funds in that UA. Likewise, ACE has also determined that they will be reporting their Livermore area revenue miles in the Stockton UA and have elected not to seek funding from the Livermore UA. The project element that the Regional Priority Model would apportion to these two urbanized areas will be deducted from the total amount of their capital request. ACE operates on track privately owned by Union Pacific. Requests for track rehabilitation, maintenance, and or upgrades for funding in the San Francisco-Oakland and Concord UAs will be assessed for eligibility upon review of the ACE and Union Pacific agreement.

- (ii) Santa Rosa City Bus and Sonoma County will apportion Santa Rosa urbanized area funding in accordance with an updated agreement that took effect in FY2014 (58% Santa Rosa City Bus and 42% Sonoma County).
- (iii) Golden Gate Bridge and Highway Transportation District (GGBHTD) is eligible to claim funds in the Santa Rosa Urbanized Areas. However, as a result of an agreement between the operators and discussion with the TFWG, GGBHTD will not claim funds from the Santa Rosa UA at this time. However, should it become advantageous to the region for GGBHTD to report revenue miles in the Santa Rosa UA and thereby claim funds in that UA, agreements between the operators will be re-evaluated. Golden Gate is an eligible claimant for funds in the Petaluma UA, and in years where extensive capital needs in other urbanized areas in the region is high; Golden Gate's projects could be funded in the Petaluma UA.
- (iv) Funding agreements between operators in the San Jose and Gilroy-Morgan Hill UAs are subject to the conditions outlined in the Caltrain Joint Powers Board Agreement and any agreements negotiated between the Board and MTC.
- (v) MTC staff will review the Comprehensive Agreement between the Santa Clara Valley Transportation Authority (VTA) and the San Francisco Bay Area Rapid Transit District (BART) in connection with the proposed Santa Clara County BART Extension and any related agreements (Comprehensive Agreement) with VTA and BART staff, and will recommend to the Commission how to incorporate these understandings into the TCP policy elements of the Comprehensive Agreement pertaining to urbanized area eligibility and programming for replacement and rehabilitation of capital assets associated with Santa Clara County BART extensions.

### **Eligibility for New Operators**

New operators will be required to meet the following criteria before becoming eligible for TCP funding:

- The operator provides public transit services in the San Francisco Bay Area that are compatible with the region's Regional Transportation Plan.
- The operator is an FTA grantee.
- The operator has filed NTD reports for at least two years prior to the first year of programming, e.g., has filed an NTD report for 2015 services and intends to file a report for 2016 to be eligible for FY 2016-17 TCP funding.
- The operator has executed a Cooperative Planning Agreement with MTC.
- The operator has submitted a current SRTP or other board-approved capital plan to MTC.

### **Screening Criteria**

A project must conform to the following threshold requirements before the project can be scored and ranked in the TCP Program's project list. Screening criteria envelops three basic areas. The following subheadings are used to group the screening criteria.

- Consistency Requirements;
- Financial Requirements;
- Project Specific Requirements;

*Consistency Requirements:* The proposed project must be consistent with the currently adopted Regional Transportation Plan (RTP). Smaller projects must be consistent with the policy direction of the RTP, as the RTP does not go into a sufficient level of detail to specifically list them.

The proposed project must be consistent with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866.

Projects near or crossing county boundaries must be consistent/complementary with the facility (or proposed facility) in the adjacent county.

Projects must be included in an operator's Short Range Transit Plan or other board-approved capital plan, or in an adopted local or regional plan (such as Congestion Management Programs, Countywide transportation plans pursuant to AB3705, the Seaport and Airport Plans, the State Implementation Plan, the Ozone Attainment Plan, the Regional Transportation Plan, and local General Plans). Also, after FTA publishes and adopts the final Transit Asset Management (TAM) rule, requests for replacement/rehabilitation of assets should be consistent with TAM plans required by the final TAM rule.

*Financial Requirements:* The proposed project has reasonable cost estimates, is supported by an adequate financial plan with all sources of funding identified and a logical cash flow, and has sensible phasing. Transit operators must demonstrate financial capacity, to be documented in the adopted TIP, as required by the FTA. All facilities that require an ongoing operating budget to be useful must demonstrate that such financial capacity exists.

*Project Specific Requirements:* All projects must be well defined. There must be clear project limits, intended scope of work, and project concept. Planning projects to further define longer range federally eligible projects are acceptable. Examples of projects include:

- Replacement/rehab of one revenue vehicle sub-fleet or ferry vessel; a sub-fleet is defined as the same bus size, manufacturer, and year; or any portion of a train set that reaches the end of its useful life at a common time.

- Train control or traction power replacement/rehab needs for a given year.
- Fixed guideway replacement/rehab needs for a given year (e.g., track replacement and related fixed guideway costs, ferry fixed guideway connectors).

All projects must be well justified, and have a clear need directly addressed by the project. All assets that would be replaced or rehabilitated must be included in the Regional Transit Capital Inventory (RTCI), a database of all transit capital assets in the region. Vehicle replacement projects, in particular, must identify the specific vehicles being replaced as listed in the RTCI.

A proposed project includes an implementation plan that adequately provides for any necessary clearances and approvals. The proposed project must be advanced to a state of readiness for implementation in the year indicated. For this requirement, a project is considered to be ready if grants for the project can be obligated within one year of the award date; or in the case of larger construction projects, obligated according to an accepted implementation schedule.

### Asset Useful Life

To be eligible for replacement or rehabilitation, assets must meet the following age requirements in the year of programming:

**Table 2. Useful Life of Assets**

Heavy-Duty Buses, other than Over-the-Road-Coaches*	12 years (or 500,000 miles in service)
Over-the-Road-Coaches*	14 years (or 500,000 miles in service)
Medium-Duty Buses*	10 years (or 500,000 miles in service)
* (or an additional 5 years for buses rehabilitated with TCP funding)	
Van <sup>1</sup>	4, 5, or 7 years, depending on type
Light Rail Vehicle (LRV)	25 years
Electric Trolleybus	15 years
Heavy Railcar <sup>2</sup>	25 years
(or an additional 20 years for railcars rehabilitated with TCP funding)	
Locomotive	25 years
(or an additional 20 years for locomotives rehabilitated with TCP funding)	
Heavy/Steel Hull Ferries	30 years
(or an additional 20 years for ferries rehabilitated with TCP funding)	
Lightweight/Aluminum Hull Ferries <sup>3</sup>	25 years
Used Vehicles <sup>4</sup>	Varies by type
Tools and Equipment	10 years
Service Vehicle	7 years
Non-Revenue Vehicle	7 years
Track	Varies by track type
Overhead Contact System/3 <sup>rd</sup> Rail Facility	Varies by type of OCS/3 <sup>rd</sup> rail replaced

*Notes:*

- 1) A paratransit van is a specialized van used in paratransit service only such as service for the elderly and handicapped. Three general categories of vans are acceptable in Transit Capital Priorities: Minivans, Standard Conversion Vans, and Small Medium-Duty Coaches. The age requirements for each type are 4, 5, and 7 years respectively.
- 2) *Includes Caltrain and ACE commuter rail and BART urban rail cars.*
- 3) *Lightweight ferries will not generally last beyond a 25-year useful life. Propulsion and major component elements of lightweight ferries can be replaced in TCP without extending the useful life beyond its anticipated useful life of 25 years.*
- 4) *Used vehicles are eligible to receive a proportionate level of funding based on the type of vehicle and number of years of additional service. (See "used vehicle replacement" Section IV, Definition of Project Categories).*

### Early Replacement Programming Requests

Requests to program vehicle replacement funds one or two years prior to the first eligible year in order to advance procurements or to replace vehicles with higher than normal

maintenance costs will be considered if the proposal has minimal impacts on other operators and can be accommodated within the region's fiscal constraints.

Exceptions for replacement of assets prior to the end of their useful life may be considered only if an operator has secured FTA approval for early retirement, which must occur before the annual apportionment has been released.

**Compensation for Deferred Replacement (Bus Replacement beyond Minimum Useful Life)**

Operators that voluntarily replace buses or vans beyond the minimum federally eligible useful life specified in Table 2 will be eligible for either of two financial compensations:

Option 1. Operators receive all of the savings, but need to apply the savings to capital replacement and rehab projects (Score 10-16).

Option 2. Operators receive half of the savings to the region created by later replacement of vehicles, which may be programmed to lower scoring eligible projects.

Savings to the region are calculated based on the pricelist cost and minimum useful life of the vehicle type. For example, if replacement of a bus with a 12-year useful life and a \$600,000 replacement cost (federal share) is deferred for two years, the savings to the region would be  $2/12 \times \$600,000 = \$100,000$ . Under Option 1, the operator would receive \$100,000 for eligible Score 10-16 capital projects. Under Option 2, the operator would receive \$50,000, which could be programmed for any eligible project. The region would retain the other \$50,000 in savings to be programmed to other needs in accordance with the TCP policy. Operators may choose between Option 1 and Option 2.

For operators that are proposing to take advantage of the bus replacement compensation, the vehicles being replaced must be older than the age requirements listed above. It is the operator's responsibility to ensure that vehicle replacement requests beyond the minimum useful life maintain a state of good repair for the assets. Requests to activate this policy option should be noted when transmitting project applications to MTC.

**Project Funding Caps**

In order to prevent committing a significant portion of the programming to an operator in any one year, the following annual funding ceilings for projects are established:

Revenue vehicle replacement projects cannot exceed \$20 million for buses or \$30 million for rail car or ferry vessel replacement and rehabilitation projects, in the aggregate, for all funding programs. If the cost of the vehicle procurement exceeds the annual cap, the difference will be programmed in subsequent years subject to availability of funds.



Fixed guideway replacement and rehabilitation projects in the aggregate cannot exceed the amounts specified for each fixed guideway (FG) operator in Table 3. The total amount of the caps is \$120 million (3% escalation) based on the updated CIP projections. Each operator’s cap is based on its share of the updated fixed guideway need projections included in the adopted Plan Bay Area 2040 RTP, with a floor applied so that no operator’s cap is reduced by more than 5% from their prior cap.

When developing the proposed TCP programs for FY2016-17 through FY2019-20, the fixed guideway caps may be increased or decreased proportionally, depending on the aggregate demand for Score 16 projects compared to projected revenues. Operators have the option of submitting contingent fixed guideway programming requests equal to 20% of the operator’s cap, in addition to requests for programming the cap amount. The contingent requests will be programmed if the program’s fiscal balance allows the region to increase the caps.

Additionally, in an attempt to better align FG needs and FG cap programming, in the call for projects for this program, operators may request more than their annual cap in a particular year if the increase is offset by a lower request in another year (i.e. as long as the total requested for FG projects over the four-year program does not exceed the annual cap times four). When developing the program, staff will attempt to program FG caps as requested. However, in order to balance needs across operators within each UA, programming may be adjusted to match available funds and project needs.

**Table 3. Fixed Guideway Caps**

FG Operator	Project Category	Fixed Guideway Cap
ACE	All Eligible FG Categories	\$1,490,000
BART	All Eligible FG Categories	50,211,000
Caltrain	All Eligible FG Categories	14,393,000
GGBHTD	All Eligible FG Categories	5,108,000
SFMTA	All Eligible FG Categories	34,026,000
VTA	All Eligible FG Categories	8,529,000
WETA	All Eligible FG Categories	6,642,000

The cap amount may be programmed to any projects that are eligible for FTA Section 5337 funding and that fall into one of the following categories:

- Track/Guideway Replacement/Rehabilitation
- Traction Power Systems Replacement/Rehabilitation
- Train Control/Signaling Replacement/Rehabilitation
- Dredging
- Ferry Fixed Guideway Connectors Replacement/Rehabilitation
- Ferry Major Component Replacement/Rehabilitation

- Ferry Propulsion Replacement/Rehabilitation
- Cable Car Infrastructure Replacement/Rehabilitation
- Wayside or Onboard Fare Collection Equipment Replacement/Rehabilitation for Fixed Guideway vehicles

Programming for all projects that fall within these categories must be within the operator's cap amount with the exception of fixed guideway infrastructure projects included in the CCCGP program of projects. Such projects may be funded with a combination of fixed guideway cap funds and additional TCP funds above the operator's fixed guideway cap.

Operators may request a one-year waiver to use fixed guideway cap funds for other capital needs that are not included in one of the eligible project categories listed above if the operator can demonstrate that the other capital needs can be addressed by the one-year waiver, or that the use of fixed guideway cap funds is part of a multi-year plan to address the other capital needs. The operator must also demonstrate that the waiver will have minimal impact on the operator's ability to meet its fixed guideway capital needs.

Other replacement projects cannot exceed \$5 million. This cap applies to non-vehicle and non-fixed guideway Score 16 projects, including communications systems, bus fare collection equipment (fixed guideway wayside fare collection equipment is covered under the fixed guideway caps), and bus emission reduction devices; and lower scoring replacement projects. Vehicle rehabilitation projects that are treated as Score 16 because the life of the asset is being extended (see Asset Useful Life above) are also subject to this cap. Exceptions to this cap include those projects included in the CCCGP. Replacement of Clipper® fare collection equipment that is centralized under MTC will be treated as a separate project for each operator whose Clipper® equipment is being replaced, including MTC for the replacement of back-end equipment and systems, for the purposes of applying this project funding cap. If project costs exceed the cap, the difference will not automatically be programmed in subsequent years; the region will assess its ability to program additional funding year-by-year based on projected revenues and demand for other Score 16 needs.

Expansion or enhancement projects cannot exceed \$3.75 million.

Vanpool Support Program programming cannot exceed the amount of apportionments per UA generated by vanpool reporting to the NTD.

As part of the development of the program, project caps may be increased or decreased on an annual basis in order to better match programming to available revenues, subject to negotiation and agreement among operators and MTC.

Exceptions to these annual funding ceilings will be considered by MTC and the TFWG on a case-by-case basis after evaluating programming requested through the call for projects, and the region's estimated fiscal resources. For large rehabilitation programs, MTC may conduct negotiations with the appropriate sponsor to discuss financing options and programming commitments.

### **Bus-Van Pricelist**

Requests for funding for buses and vans cannot exceed the prices in the Regional Bus-Van Pricelist for each year of the TCP program as shown in Tables 4 through 7. If an operator elects to replace vehicles with vehicles of a different fuel type, the price listed for the new fuel type vehicle applies, e.g., if an operator is replacing diesel buses with diesel-electric hybrid buses, the operator may request funds up to the amount listed for hybrid buses.

The pricelist is based on a survey of prices paid by operators in the Bay Area, and was initially developed for the FY2014-15 program. Since FY2014-15, the prices have been escalated using the Producer Price Index (PPI) for buses. This escalation rate is noted in the tables. After FY2017-18, the pricelists for FY2018-19 and FY2019-20 may be revised using more current PPI data and other information.

Operators have indicated interest in procuring double-decker buses and low-floor cut-away vehicles in the program. However, there is little history to use for developing pricelist amounts. Therefore, the projected prices for these types of vehicles will be developed by the operator based on the best available information, and a justification for the projected price will be submitted together with the operator's TCP programming request. If the justification does not adequately support the projected price, the programmed amount will be subject to negotiation between MTC staff and the operator. Additionally, the Transit Finance Working Group members shall have an opportunity to review and comment on the proposed prices and programming for these vehicles when the TFWG reviews the proposed program.

Note that the bus prices do not include allowances for radios and fareboxes; they will be considered a separate project under the TCP policy. The price of electronic fareboxes varies approximately between \$10,000 and \$14,000 whereas the price of radios varies from \$1,000 to \$5,000. Requests for funding radios and fareboxes should be within the price range mentioned above. Requests above these ranges will require additional justification. Fareboxes for/on fixed guideway vehicles will be funded out of the operators' fixed guideway cap amounts (see Table 3). Operators are expected to include Clipper® wiring and brackets in all new buses, so the buses are Clipper®-ready without requiring additional expenses.

### **Compensation for Cost Effective Bus Purchases**

Under this element of the TCP policy, operators that request less than the full pricelist amount for vehicle replacements would be eligible for either of two financial compensations:

Option 1\* Operators receive all of the savings, but need to apply the savings to capital replacement and rehab projects (Score 10-16).

Option 2\* Operators receive half of the savings to the region created by cost effective vehicle purchases, which may be programmed to lower scoring (below score 10) eligible projects, including preventive maintenance.

The intent of this policy element is to ensure that the region's limited funds can cover more of the region's capital needs while targeting funding to the vehicles most in need of replacement.

\*If the amount of federal apportionments received does not allow us to fully program all Score 16 projects, MTC reserves the right to reduce the percentage of savings that would go back to the operator.

### **Zero-Emission Buses**

With zero-emission buses (ZEBs) just starting to be commercially available, there is little history to use for developing pricelist amounts, and while increasing sales of ZEBs is expected to lead to lower prices, the rate of price decline is difficult to predict.

Therefore, the projected prices for ZEBs will be developed by the operator based on the best available information, and a justification for the projected price will be submitted together with the operator's TCP programming request. If the justification does not adequately support the projected price, the programmed amount will be subject to negotiation between MTC staff and the operator.

The programmed amount for ZEBs will be 82% of the projected price (or negotiated price), except as noted below. If an operator requests funds for ZEBs through the TCP Process and Criteria, the operator will agree to make a good faith effort to obtain other non-TCP funds, such as FTA Lo-No funds, FTA Section 5339 Discretionary Program funds, CARB Heavy Duty Zero Emission Pilot Project funds, California Energy Commission funds, county sales tax funds, or other local funds for at least the difference between the projected price for ZEBs and the TCP Process and Criteria pricelist price for a comparable diesel-electric hybrid bus. If the operator is successful in securing non-TCP funds, the TCP request for ZEBs will be reduced by the amount of non-TCP funds secured. Additionally, the Transit Finance Working Group members shall have an opportunity to review and comment on the proposed prices and programming for these vehicles when the TFWG reviews the proposed program.

**Table 4: Regional Bus-Van Pricelist, FY2016-17**

Vehicle Type	Total	Federal	Local	Federal %	Local %
Minivan Under 22'	\$52,000	\$42,640	\$9,360	82%	18%
Cut-Away/Van, 4 or 5-Year, Gas	\$89,000	\$72,980	\$16,020	82%	18%
Cut-Away/Van, 4 or 5-Year, Diesel	\$109,000	\$89,380	\$19,620	82%	18%
Cut-Away/Van, 4 or 5-Year, CNG	\$123,000	\$100,860	\$22,140	82%	18%
Cut-Away/Van, 7-Year, Gas	\$123,000	\$100,860	\$22,140	82%	18%
Cut-Away/Van, 7-Year, Diesel	\$152,000	\$124,640	\$27,360	82%	18%
Cut-Away/Van, 7-Year, CNG	\$172,000	\$141,040	\$30,960	82%	18%
Transit Bus 30' Diesel	\$478,000	\$391,960	\$86,040	82%	18%
Transit Bus 30' CNG	\$529,000	\$433,780	\$95,220	82%	18%
Transit Bus 30' Hybrid	\$735,000	\$602,700	\$132,300	82%	18%
Transit Bus 35' Diesel	\$493,000	\$404,260	\$88,740	82%	18%
Transit Bus 35' CNG	\$544,000	\$446,080	\$97,920	82%	18%
Transit Bus 35' Hybrid	\$735,000	\$602,700	\$132,300	82%	18%
Transit Bus 40' Diesel	\$537,000	\$440,340	\$96,660	82%	18%
Transit Bus 40' CNG	\$621,000	\$509,220	\$111,780	82%	18%
Transit Bus 40' Hybrid	\$780,000	\$639,600	\$140,400	82%	18%
Over the Road 45' Diesel	\$625,000	\$512,500	\$112,500	82%	18%
Articulated 60' Diesel	\$872,000	\$715,040	\$156,960	82%	18%
Articulated 60' Hybrid	\$1,068,000	\$875,760	\$192,240	82%	18%

Notes:

Prices escalated 1.23% annually over FY2015-16, rounded to the nearest \$1,000.

For buses with dual-side doors, add \$50,000 to Total (\$41,000 Federal, \$9,000 Local).

For vehicle procurements more than 20 in number, 5% of the cost of the buses can be added to the pricelist amounts to account for soft costs.

**Table 5: Regional Bus-Van Pricelist, FY2017-18**

Vehicle Type	Total	Federal	Local	Federal %	Local %
Minivan Under 22'	\$53,000	\$43,460	\$9,540	82%	18%
Cut-Away/Van, 4 or 5-Year, Gas	\$90,000	\$73,800	\$16,200	82%	18%
Cut-Away/Van, 4 or 5-Year, Diesel	\$110,000	\$90,200	\$19,800	82%	18%
Cut-Away/Van, 4 or 5-Year, CNG	\$125,000	\$102,500	\$22,500	82%	18%
Cut-Away/Van, 7-Year, Gas	\$125,000	\$102,500	\$22,500	82%	18%
Cut-Away/Van, 7-Year, Diesel	\$154,000	\$126,280	\$27,720	82%	18%
Cut-Away/Van, 7-Year, CNG	\$174,000	\$142,680	\$31,320	82%	18%
Transit Bus 30' Diesel	\$484,000	\$396,880	\$87,120	82%	18%
Transit Bus 30' CNG	\$536,000	\$439,520	\$96,480	82%	18%
Transit Bus 30' Hybrid	\$744,000	\$610,080	\$133,920	82%	18%
Transit Bus 35' Diesel	\$499,000	\$409,180	\$89,820	82%	18%
Transit Bus 35' CNG	\$551,000	\$451,820	\$99,180	82%	18%
Transit Bus 35' Hybrid	\$744,000	\$610,080	\$133,920	82%	18%
Transit Bus 40' Diesel	\$544,000	\$446,080	\$97,920	82%	18%
Transit Bus 40' CNG	\$629,000	\$515,780	\$113,220	82%	18%
Transit Bus 40' Hybrid	\$790,000	\$647,800	\$142,200	82%	18%
Over the Road 45' Diesel	\$633,000	\$519,060	\$113,940	82%	18%
Articulated 60' Diesel	\$883,000	\$724,060	\$158,940	82%	18%
Articulated 60' Hybrid	\$1,081,000	\$886,420	\$194,580	82%	18%

Notes:

Prices escalated 1.23% annually over FY2016-17 prices, rounded to the nearest \$1,000.

For buses with dual-side doors, add \$50,000 to Total (\$40,000 Federal, \$10,000 Local).

For vehicle procurements more than 20 in number, 5% of the cost of the buses can be added to the pricelist amounts to account for soft costs.

**Table 6: Regional Bus-Van Pricelist, FY2018-19**

Vehicle Type	Total	Federal	Local	Federal %	Local %
Minivan Under 22'	\$ 54,000	\$ 44,280	\$ 9,720	82%	18%
Cut-Away/Van, 4 or 5-Year, Gas	\$ 91,000	\$ 74,620	\$ 16,380	82%	18%
Cut-Away/Van, 4 or 5-Year, Diesel	\$ 111,000	\$ 91,020	\$ 19,980	82%	18%
Cut-Away/Van, 4 or 5-Year, CNG	\$ 127,000	\$ 104,140	\$ 22,860	82%	18%
Cut-Away/Van, 7-Year, Gas	\$ 127,000	\$ 104,140	\$ 22,860	82%	18%
Cut-Away/Van, 7-Year, Diesel	\$ 156,000	\$ 127,920	\$ 28,080	82%	18%
Cut-Away/Van, 7-Year, CNG	\$ 176,000	\$ 144,320	\$ 31,680	82%	18%
Transit Bus 30' Diesel	\$ 490,000	\$ 401,800	\$ 88,200	82%	18%
Transit Bus 30' CNG	\$ 543,000	\$ 445,260	\$ 97,740	82%	18%
Transit Bus 30' Hybrid	\$ 753,000	\$ 617,460	\$ 135,540	82%	18%
Transit Bus 35' Diesel	\$ 505,000	\$ 414,100	\$ 90,900	82%	18%
Transit Bus 35' CNG	\$ 558,000	\$ 457,560	\$ 100,440	82%	18%
Transit Bus 35' Hybrid	\$ 753,000	\$ 617,460	\$ 135,540	82%	18%
Transit Bus 40' Diesel	\$ 551,000	\$ 451,820	\$ 99,180	82%	18%
Transit Bus 40' CNG	\$ 637,000	\$ 522,340	\$ 114,660	82%	18%
Transit Bus 40' Hybrid	\$ 800,000	\$ 656,000	\$ 144,000	82%	18%
Over-the-Road 45' Diesel	\$ 641,000	\$ 525,620	\$ 115,380	82%	18%
Articulated 60' Diesel	\$ 894,000	\$ 733,080	\$ 160,920	82%	18%
Articulated 60' Hybrid	\$ 1,094,000	\$ 897,080	\$ 196,920	82%	18%

Notes:

Prices escalated 1.23% annually over FY2017-18 prices, rounded to the nearest \$1,000.

For buses with dual-side doors, add \$50,000 to Total (\$41,000 Federal, \$9,000 Local).

For vehicle procurements more than 20 in number, 5% of the cost of the buses can be added to the pricelist amounts to account for soft costs.

**Table 7: Regional Bus-Van Pricelist, FY2019-20**

Vehicle Type	Total	Federal	Local	Federal %	Local %
Minivan Under 22'	\$ 55,000	\$ 45,100	\$ 9,900	82%	18%
Cut-Away/Van, 4 or 5-Year, Gas	\$ 92,000	\$ 75,440	\$ 16,560	82%	18%
Cut-Away/Van, 4 or 5-Year, Diesel	\$ 112,000	\$ 91,840	\$ 20,160	82%	18%
Cut-Away/Van, 4 or 5-Year, CNG	\$ 129,000	\$ 105,780	\$ 23,220	82%	18%
Cut-Away/Van, 7-Year, Gas	\$ 129,000	\$ 105,780	\$ 23,220	82%	18%
Cut-Away/Van, 7-Year, Diesel	\$ 158,000	\$ 129,560	\$ 28,440	82%	18%
Cut-Away/Van, 7-Year, CNG	\$ 178,000	\$ 145,960	\$ 32,040	82%	18%
Transit Bus 30' Diesel	\$ 496,000	\$ 406,720	\$ 89,280	82%	18%
Transit Bus 30' CNG	\$ 550,000	\$ 451,000	\$ 99,000	82%	18%
Transit Bus 30' Hybrid	\$ 762,000	\$ 624,840	\$ 137,160	82%	18%
Transit Bus 35' Diesel	\$ 511,000	\$ 419,020	\$ 91,980	82%	18%
Transit Bus 35' CNG	\$ 565,000	\$ 463,300	\$ 101,700	82%	18%
Transit Bus 35' Hybrid	\$ 762,000	\$ 624,840	\$ 137,160	82%	18%
Transit Bus 40' Diesel	\$ 558,000	\$ 457,560	\$ 100,440	82%	18%
Transit Bus 40' CNG	\$ 645,000	\$ 528,900	\$ 116,100	82%	18%
Transit Bus 40' Hybrid	\$ 810,000	\$ 664,200	\$ 145,800	82%	18%
Over-the-Road 45' Diesel	\$ 649,000	\$ 532,180	\$ 116,820	82%	18%
Articulated 60' Diesel	\$ 905,000	\$ 742,100	\$ 162,900	82%	18%
Articulated 60' Hybrid	\$ 1,107,000	\$ 907,740	\$ 199,260	82%	18%

Notes:

Prices escalated 1.23% annually over FY2018-19 prices, rounded to the nearest \$1,000.

For buses with dual-side doors, add \$50,000 to Total (\$41,000 Federal, \$9,000 Local).

For vehicle procurements more than 20 in number, 5% of the cost of the buses can be added to the pricelist amounts to account for soft costs.



**Project Definition and Scoring**

**Project Scoring**

All projects submitted to MTC for TCP programming consideration that have passed the screening process will be assigned scores by project category as indicated in Table 8.

**Table 8. Project Scores**

<u>Project Category/Description</u>	<u>Project Score</u>
<b>Debt Service</b>	<b>17</b>
Debt service – repayment of financing issued against future FTA revenues. Debt service, including principal and interest payments, for any financing required to advance future FTA or STP revenues to fund annual TCP or CCCGP programs of projects will be treated as score 17.	
<b>Revenue Vehicle Replacement</b>	<b>16</b>
Vehicle Replacement - replacement of a revenue vehicle at the end of its useful life (see Asset Useful Life above). Vehicles previously purchased with revenue sources other than federal funds are eligible for FTA formula funding as long as vehicles meet the replacement age. Vehicles are to be replaced with vehicles of similar size (up to 5' size differential) and seating capacity, e.g., a 40-foot coach replaced with a 40-foot coach and not an articulated vehicle. If an operator is electing to purchase smaller or larger buses (above or below a 5' size differential), or do a sub-fleet reconfiguration, the replacement sub-fleet will have a comparable number of seats as the vehicles being replaced. Paratransit vehicles can be replaced with the next larger vehicle providing the existing vehicle is operated for the useful life period of the vehicle that it is being upgraded to. Any other significant upgrade in size will be considered as vehicle expansion and not vehicle replacement. For urgent replacements not the result of deferred maintenance and replacement of assets 20% older than the usual replacement cycle (e.g., 12 or 16 years for buses depending on type of bus), a project may receive an additional point.	
<b>Revenue Vehicle Rehabilitation</b>	<b>16</b>
Vehicle Rehabilitation - major maintenance, designed to extend the useful life of a revenue vehicle (+5 years for buses, +20 years for railcars, +20 years for locomotives, +20 years for heavy hull ferries). Rehabilitation of historic railcars, which have, by definition, extended useful lives, is included in this category.	
<b>Core Capacity Challenge Grant Program Projects</b>	<b>16</b>
Projects proposed for TCP funding in the CCCGP (MTC Resolution No. 4123) that are not otherwise Score 16.	
<b>Used Vehicle Replacement</b>	<b>16</b>
Used Vehicle Replacement - replacement of a vehicle purchased used (applicable to buses, ferries, and rail cars) is eligible for federal, state, and local funding that MTC administers. Funds in this category include FTA Section 5307, STP, CMAQ, STIP, and Net Toll Revenues. However, funding for replacement of the used vehicle will be limited to a proportionate share of the total project cost, equal to the number of years the used vehicle is operated beyond its standard useful life divided by its standard useful life (e.g., if a transit property retained and operated a used transit bus for 5 years, it is eligible to receive 5/12 <sup>th</sup> of the allowable programming for the project).	
<b>Fixed Guideway Replacement / Rehabilitation</b>	<b>16</b>
Rehabilitation/Replacement Fixed Guideway - projects replacing or rehabilitating fixed guideway equipment at the end of its useful life, including rail, guideway, bridges, traction power systems, wayside train control systems, overhead wires, cable car infrastructure, and computer/communications systems with a primary purpose of communicating with or controlling fixed guideway equipment. Projects in this category are subject to fixed guideway project caps.	

<b>Ferry Propulsion Systems</b>	<b>16</b>
Ferry Propulsion Replacement—projects defined as the mid-life replacement and rehabilitation of ferry propulsion systems in order that vessels are able to reach their 25-year useful life. Projects in this category are subject to fixed guideway project caps.	
<b>Ferry Major Component</b>	<b>16</b>
Ferry Major Components—projects associated with propulsion system, inspection, and navigational equipment required to reach the full economic life of a ferry vessel. Projects in this category are subject to fixed guideway project caps.	
<b>Ferry Fixed Guideway Connectors</b>	<b>16</b>
Ferry Fixed Guideway Connectors—floats, gangways, and ramps associated with the safe moorage and boarding of passengers to/from ferry vessels. Projects in this category are subject to fixed guideway project caps.	
<b>Revenue Vehicle Communication Equipment</b>	<b>16</b>
Communication Equipment – Includes on-board radios, radio base stations, and computer/communications systems with a primary purpose of communicating with and/or location/navigation of revenue vehicles, such as GPS/AVL systems.	
<b>Non-Clipper® Fare Collection/Fareboxes</b>	<b>16</b>
Revenue vehicle and wayside fare equipment are eligible for replacement as score 16. The maximum programming allowance for revenue vehicle fare equipment purchased separately from revenue vehicles is outlined in Section III, Project Funding Caps, providing the fare equipment is not replaced prior to the 12-year replacement cycle for buses. Fare equipment must be compatible with the Clipper® fare collection system.	
<b>Clipper®</b>	<b>16</b>
Clipper® - replacement of Clipper® fare collection equipment and systems.	
<b>Bus Diesel Emission Reduction Devices</b>	<b>16</b>
Bus diesel emission reduction devices or device components required to meet or exceed California Air Resources Board requirements, including first-time retrofits, upgrades, replacements and spares. Devices or components must be installed on buses that will remain in service for at least five (5) years following year programming in order to be treated as Score 16. Only spares up to 10% of the operator’s current device inventory will be treated as Score 16. Bus diesel emission device projects treated as Score 16 require a 50% local match. Devices or components installed on buses scheduled to be replaced within five (5) years of programming, and spares in excess of 10% of the operator’s inventory, will be treated as Preventive Maintenance (Score 9). See Section V. Programming Policies, Bus Diesel Emission Reduction Device Funding Program.	
<b>Vanpool Support Program</b>	<b>16</b>
Turnkey vanpool services contracted by MTC. This program will have eligibility beginning FY2019-20, and is subject to funding cap at levels no greater than the projected apportionments generated by vanpool reporting in the urbanized area.	
<b>Safety</b>	<b>15</b>
Safety/Security - projects addressing potential threats to life and/or property. The project may be maintenance of existing equipment or new safety capital investments. Includes computer/communications systems with a primary purpose of communicating with/controlling safety systems, including ventilation fans, fire suppression, fire alarm, intruder detection, CCTV cameras, and emergency “blue light” phones. Adequate justification that the proposed project will address safety and/or security issues must be provided. The TFWG will be provided an opportunity to review proposed projects before a project is programmed funds in a final program. Projects that contribute to a 1% security requirement will be considered Score 16.	

<b>ADA/Non Vehicle Access Improvement</b>	<b>14</b>
ADA - capital projects needed for ADA <i>compliance</i> . Does not cover routine replacement of ADA-related capital items. Project sponsor must provide detailed justification that the project is proposed to comply with ADA. Subject to TFWG review.	
<b>Fixed/Heavy Equipment, Maintenance/Operating Facilities</b>	<b>13</b>
Fixed/Heavy equipment and Operations/Maintenance facility - replacement/rehabilitation of major maintenance equipment, generally with a unit value over \$10,000; replacement/rehabilitation of facilities on a schedule based upon the useful life of the components.	
<b>Station/Intermodal Stations/Parking Rehabilitation</b>	<b>12</b>
Stations/Intermodal Centers/Patron Parking Replacement/Rehab - replacement/rehabilitation of passenger facilities. Includes computer/communications systems with a primary purpose of communicating with/controlling escalators or elevators, and public address or platform display systems at stations or platforms.	
<b>Service Vehicles</b>	<b>11</b>
Service Vehicles - replacement/rehabilitation of non-revenue and service vehicles based on useful life schedules.	
<b>Tools and Equipment</b>	<b>10</b>
Tools and Equipment - maintenance tools and equipment, generally with a unit value below \$10,000.	
<b>Administrative Computer Systems and Office Equipment</b>	<b>9</b>
Office Equipment - computers, copiers, fax machines, etc. Includes administrative - MIS, financial, HR, scheduling, transit asset management, and maintenance management systems.	
<b>Preventive Maintenance</b>	<b>9</b>
Preventive Maintenance - ongoing maintenance expenses (including labor and capital costs) of revenue and non-revenue vehicles that do not extend the life of the vehicle. This includes mid-life change-out of tires, tubes, engines and transmissions that do not extend the life of the vehicle beyond the twelve years life cycle. Preventive Maintenance may be treated as Score 16 under certain circumstances; see Section V. Programming Policies, Preventive Maintenance Funding.	
<b>Operational Improvements/Enhancements</b>	<b>8</b>
Operational Improvement/Enhancements - any project proposed to improve and/or enhance the efficiency of a transit facility.	
<b>Operations</b>	<b>8</b>
Operations—costs associated with transit operations such as the ongoing maintenance of transit vehicles including the cost of salaries. See Section V, Limited Use of FTA Funds for Operating Purposes.	
<b>Expansion</b>	<b>8</b>
Expansion - any project needed to support expanded service levels.	

### **C. Programming Policies**

#### **Project Apportionment Model for Eligible Urbanized Areas**

There are four elements that need to be considered to determine operators' urbanized area apportionment: multi-county agreements, high-scoring capital needs, the 10% ADA set-aside amounts, the Lifeline set-aside amounts, and the Unanticipated Costs Reserve. The Regional Priority Model, as explained in paragraph (a), establishes funding priority for apportioning high-scoring capital projects to eligible urbanized areas. Funding may be limited by multi-county agreements as explained in paragraph (b) below. Eligible programming revenues are net of the 10% ADA set-aside discussed in paragraph (c) below, and the Vehicle Procurement Reserve, if any, described at the end of this section.

- a) *Regional Priority Programming Model*: The 2000 Census changes to the region's urbanized areas made numerous operators eligible to claim funds in more than one urbanized area. This has necessitated a procedure for apportioning projects to eligible urbanized areas. The *Regional Priority Model*, as described below, was fashioned to prioritize funds for the replacement of the region's transit capital plant, while minimizing the impact of the 2000 Census boundary changes. The 2010 Census did not result in any major changes to the region's urbanized areas.

The model assumes a regional programming perspective and constrains regional capital demand to the amount of funds available to the region, prior to apportioning projects to urbanized areas. It then apportions projects to urbanized areas in the following order:

- i. Funds are apportioned first for operators that are the exclusive claimant in a single UA (e.g., LAVTA, Fairfield, etc.)
  - ii. Fund projects for operators that are restricted to receiving funds in one urbanized area (e.g., SFMTA, AC, WestCAT, CCCTA, etc.)
  - iii. Fund balance of operator projects among multiple urbanized areas, as eligibility allows, with the objective of fully funding as many high scoring projects as possible.
  - iv. Reduce capital projects proportionately in urbanized areas where need exceeds funds available.
  - v. Fund lower scoring projects (additional programming flexibility) to operators in urbanized areas where apportionments exceed project need.
- b) *Multi-County Agreements*: For some operators, urbanized area (UA) apportionments are guided by multi-county agreements. Aside from the

acknowledged agreements, funds are apportioned based on the regional priority model.

There are three specific agreements that are being honored under the negotiated multi-county agreement model: the Caltrain Joint Powers Board Agreement, the Altamont Commuter Express (ACE) Cooperative Services Agreement and the Sonoma County-Santa Rosa City Bus Agreement.

Consideration for future agreements will include representation from each interested county, interested transit property, or an appointed designee, and be approved by all operators in the affected UA and MTC.

- c) *10% ADA Paratransit Service Set-Aside*: The FAST Act caps the share of each urbanized area's Section 5307 apportionment that can be programmed for ADA paratransit service operating costs at 10%. An amount equal to 10% of each participating urbanized area's FTA Section 5307 apportionment will be set-aside to assist operators in defraying ADA paratransit operating expenses. The purpose of this set-aside is to ensure that in any one year, a transit operator can use these funds to provide ADA service levels necessary to maintain compliance with the federal law, without impacting existing levels of fixed route service. ADA set-aside programmed to small UA operators will not impact eligible programming amounts in large UAs.

The formula for distributing the 10% ADA operating set-aside among the eligible operators in each UA is based on the following factors:

- (i) Annual Demand Response (DR) Operating Expenses (40%),
- (ii) Annual Demand Response (DR) Ridership (40%), and
- (iii) Annual Overall Ridership (20%).

Table 7 shows the percentages by operator and urbanized area for FY 2016-17 and FY2017-18 (Data Source: NTD, Year: 2014). The table will be used for the preliminary program for FY2018-19 and FY2019-20, and will be revised based on updated NTD data after FY2017-18.

**Table 7: ADA Set-aside Amounts by Urbanized Area and Operator**

**New Formula – FY17 and FY18 ADA Set-Aside Percentages by Urbanized Area and Operator**

Operator	San Francisco-Oakland	San Jose	Concord	Antioch	Vallejo	Livermore	Gilroy-MH	Petaluma
AC Transit	29.24%							
ACE	0.10%		1.8%					
BART	12.44%		32.6%	13.3%				
Caltrain	0.28%	3.7%						
CCCTA			56.8%					
Fairfield-Suisun Transit	Not Applicable							
GGBHTD <sup>4</sup>	1.33%							
LAVTA			8.8%			100.0%		
Marin County Transit <sup>4</sup>	5.32%							
Napa VINE					17.9%			
Petaluma Transit								77.9%
SamTrans	13.45%							
SFMTA	34.81%							
SolTrans					82.1%			
Sonoma Cty Transit								22.1%
SR City Bus	Not Applicable							
Tri-Delta				86.7%				
Union City	1.02%							
Vacaville	Not Applicable							
VTA		96.3%					100.0%	
WestCAT	1.96%							
WETA	0.06%							
<b>Total</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>

Notes:

- 1) Updated with 2014 NTD reporting
- 2) Urbanized Areas not shown are not participating in 10% ADA set-aside policy.
- 2) Formula based on three factors weighted as shown: a) Operator's Annual Demand Response Expenses (40%); b) Operators Demand Response Ridership (40%); and c) Operator's Annual Overall Ridership (20%)
- 3) To calculate funding amounts, multiply 10% of related urbanized area revenue estimate against percentages shown for operators in that urbanized area.
- 4) GGBHTD share split with Marin County Transit per agreement between the two operators. 20/80 split.
- 5) If operator was eligible for funds in multiple UA's, we used GIS spatial analysis to calculate percentage of operator's share (based on no. of stops) in each UA.

**Table 7-A: ADA Set-aside Amounts by Urbanized Area and Operator – Updated for FY2019- and FY2020**

**New Formula – FY19 & FY20 ADA Set-Aside Percentages by Urbanized Area and Operator**

Operator	San Francisco-Oakland	San Jose	Concord	Antioch	Vallejo	Livermore	Gilroy-MH	Petaluma
AC Transit	31.83%							
ACE	0.03%		0.44%					
BART	13.73%		34.66%	13.87%				
Caltrain	0.44%	4.22%						
CCCTA			53.92%					
Fairfield-Suisun Transit	Not Applicable							
GGBHTD <sup>4</sup>	1.24%							
LAVTA			10.98%			100.0%		
Marin County Transit <sup>4</sup>	4.98%							
Napa VINE					18.82%			
Petaluma Transit								73.01%
SamTrans	13.43%							
SFMTA	31.46%							
SolTrans					81.18%			
Sonoma Cty Transit								26.99%
SR City Bus	Not Applicable							
Tri-Delta				86.13%				
Union City	0.96%							
Vacaville	Not Applicable							
VTA		95.78%					100.0%	
WestCAT	1.77%							
WETA	0.12%							
<b>Total</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>

Notes:

- 1) Updated with 2016 NTD reporting
- 2) Urbanized Areas not shown are not participating in 10% ADA set-aside policy.
- 2) Formula based on three factors weighted as shown: a) Operator's Annual Demand Response Expenses (40%); b) Operators Demand Response Ridership (40%); and c) Operator's Annual Overall Ridership (20%)
- 3) To calculate funding amounts, multiply 10% of related urbanized area revenue estimate against percentages shown for operators in that urbanized area.
- 4) GGBHTD share split with Marin County Transit per agreement between the two operators. 20/80 split.
- 5) If operator was eligible for funds in multiple UA's, we used GIS spatial analysis to calculate percentage of operator's share (based on no. of stops) in each UA.

An operator may use its share of the FTA Section 5307 set-aside for other Score 16 projects if the operator can certify that:

- Their ADA paratransit operating costs are fully funded in its proposed annual budget;
- For jointly-funded paratransit services, operators' FTA Section 5307 ADA set-aside shares have been jointly considered in making decisions on ADA service levels and revenues.

If MTC is satisfied with the operator's certification, the operator may re-program its set-aside for any Score 16 project(s), including those projects funded under FG caps. To ensure that the Section 5307 10% set-aside funding is duly considered for annual ADA paratransit needs, there will be no multi-year programming of the 10% ADA set-aside to capital-only purposes.

- d) *Lifeline Set-Aside*: MAP-21 eliminated the Job Access and Reverse Commute (JARC) program (Section 5316) and combined JARC functions and funding with the Urbanized Area Formula (Section 5307) and the Non-urbanized Area Formula (Section 5311) programs. JARC projects were made eligible for 5307 funding, and 3.07% of 5307 appropriations are apportioned by the JARC low-income formula. However, there are no minimum or maximum amounts that can be programmed for JARC projects.

The region has historically used JARC funds apportioned to large urbanized areas to support the Lifeline program. In recognition of the changes to the JARC program and the continued need for funding for the Lifeline program:

- The first priority for 5307 funds apportioned by the JARC formula is the Lifeline program;
- In the FY2016-17 through FY2019-20 Section 5307 programs, funds will be set aside for the Lifeline program based on an analysis of the amount of apportionments in each UA that is apportioned by the low-income formula;
- Section 5307 funds programmed for JARC projects shall be subject to the Lifeline Program guidelines in effect for that year of programming, rather than to the TCP Policies, provided such projects are consistent with federal laws and regulations related to Section 5307.

- e) *Unanticipated Costs Reserve*: Unanticipated costs, such as capital improvements required to comply with new regulations, can be difficult to accommodate in the TCP program after the preliminary program has been developed and adopted. To improve the region's ability to provide funding to meet such unanticipated costs, a reserve of approximately \$2 million of TCP funds will be set aside before developing the preliminary programs for FY2016-17 through FY2019-20. The reserve will be set aside from all urbanized areas proportional to each urbanized area's projected apportionments in each program. Any proposals to program



from the reserve will be reviewed with the Transit Finance Working Group. Any Unanticipated Cost Reserve funds that are not programmed will roll over and be available for programming in the following year.

#### **Limited Use of FTA Funds for Operating Purposes**

FTA permits the use of FTA Section 5307 small urbanized funds to be used for operating purposes. For operators eligible to claim in both large and small urbanized areas, the amount of funds used for operating will be deducted from the amount of capital claimed in the large UA.

MAP-21 provided new eligibility for small and medium-sized bus operators in large urbanized areas to use Section 5307 funds for operating assistance. For operators with up to 75 buses, 75% of the urbanized area's apportionment attributable to the operator (as measured by vehicle revenue hours) may be programmed for operating assistance. For operators with 76 to 100 buses, 50% of the urbanized area's apportionment attributable to the operator (as measured by vehicle revenue hours) may be programmed for operating assistance. Eligible operators may request operating assistance up to the maximum eligible amount, but operating assistance will be programmed only after higher scoring projects in the urbanized area are funded. Operating assistance requests will be treated at Score 8 in the programming process (see Table 6 Project Scores above).

#### **Specified Urbanized Area Flexibility**

In urbanized areas with only one transit operator (Fairfield, Vacaville, Napa) greater flexibility for funding lower scoring projects will be allowed, providing that other operators in the region are not impacted. These operators will also be allowed to use funds for operating, without reduction of funding for capital projects, providing that capital is adequately maintained and replaced on a reasonable schedule as outlined in each operator's SRTP or other board-approved capital plan, and in accordance with goals outlined in the RTP for maintaining the region's capital plant (maintenance of effort).

#### **Associated Transit Improvements**

The FAST act eliminated the requirement that 1% of the FTA section 5307 apportionments in large urbanized areas be programmed for Associated Transit Improvements (formerly referred to as transit enhancements). However, designated recipients must still submit an annual report listing projects carried out in the preceding year with these funds as part of the Federal fiscal year's final quarterly progress report in TrAMS. The report should include the following elements:

- (A) Grantee name;
- (B) UZA name and number;
- (C) FTA project number;
- (D) Associated transit improvement category;

- (E) Brief description of improvement and progress towards project implementation;
- (F) activity line item code from the approved budget; and
- (G) Amount awarded by FTA for the project. The list of associated transit improvement categories and activity line item (ALI) codes may be found in the table of Scope and ALI codes in TrAMS. To assist MTC staff in preparing this report, grantees should continue to identify associated transit improvement projects that will receive funding from the Urbanized Area Formula Program.

### **Preventive Maintenance Funding**

Preventive maintenance will be considered a Score 9 funding priority in Transit Capital Priorities, unless the conditions for one of the following four policy elements are met, in which case preventive maintenance will be treated as Score 16. For an individual operator to make use of preventive maintenance funding, other operators in the region must be able to move forward with planned capital replacement. It is the intent of this policy that funding for preventive maintenance will not increase the region's transit capital shortfall.

- a) *Funding Exchange*: Operators who wish to exchange a capital project for preventive maintenance funding in order to use their local or state funds to ease federal constraints or strictly as a financing mechanism may do so providing that the replacement asset funded with local funds is comparable to the asset being replaced and is maintained in service by the purchasing operator for its full useful life as outlined in Section V. The Funding Exchange element can be applied to lower scoring capital projects as well as preventive maintenance. Operators using the Funding Exchange element must certify in writing that the assets will be replaced with non-federal funds.
- b) *Capital Exchange*: In this option, an operator could elect to remove an eligible capital project from TCP funding consideration for the useful life of the asset in exchange for preventive maintenance funding. The funding is limited to the amount of capital funding an operator would have received under the current TCP policy in a normal economic climate. If an operator elects to replace the asset - removed from regional competition for funding under these provisions – earlier than the timeline established for its useful life, the replacement will be considered an expansion project. Operators using the Capital Exchange element will be limited to two years preventive maintenance funding within a 12-year period.
- c) *Negotiated Agreement within an Urbanized Area*: In the third option, an operator may negotiate with the other operators in the affected urbanized areas to receive an amount of preventive maintenance funding, providing that a firewall is established between the affected urbanized area(s) and all other urbanized areas. This will ensure that other operators' high-scoring capital replacement projects are not jeopardized.

- d) *Budgetary Shortfalls*: Requests for preventive maintenance to meet budgetary shortfalls will be considered on a case-by-case basis if a fiscal need can be demonstrated by the requesting operator based on the guidelines outlined below. MTC must declare that a fiscal need exists to fund preventive maintenance where such action would displace higher scoring capital projects ready to move forward in a given fiscal year. A fiscal need can be declared if the following conditions exist:
- An operator must demonstrate that all reasonable cost control and revenue generation strategies have been implemented and that a residual shortfall remains.
  - An operator can demonstrate that the shortfall, if not addressed, would result in a significant service reduction.

The Commission will consider the severity of the shortfall and the scope and impact of the service cuts in determining whether fiscal need exists. Operators establishing a fiscal need must also adhere to the following four requirements in order to be eligible to receive funding for preventive maintenance:

- i. Operators must successfully show a board approved bridging strategy that will sustain financial recovery beyond the year for which preventive maintenance is requested.
- ii. The bridging strategy should not rely on future preventive maintenance funding to achieve a balanced budget. In other words, should a service adjustment be required to balance the budget over the long run, preventive maintenance should not be invoked as a stopgap to inevitable service reductions.
- iii. Funds programmed to preventive maintenance should not be considered as a mechanism to sustain or replenish operating reserves.
- iv. Operators requesting FTA formula funds will be limited to two years preventive maintenance funding within a 12-year period.

The requesting operator will enter into an MOU with MTC or other formal agreement or action, such as Board approvals, and if applicable, with other transit properties affected by the preventive maintenance agreement. The agreement or actions will embody the four eligibility requirements outlined above as well as any other relevant terms and conditions of the agreement.

#### **Bus Diesel Emission Reduction Device Funding Program**

MTC provided approximately \$14 million in CMAQ funds in FY2003-04 and FY2004-05 to assist with the procurement of approximately 1,600 bus emission reduction devices to help operators meet California Air Resources Board (CARB) requirements. The devices or

their components may need to be replaced periodically. New upgraded devices also provide greater NO<sub>x</sub> reduction benefits than the original devices.

In response to the need to install or replace bus diesel emission reduction devices to comply with CARB requirements, the Transit Capital Priorities policy includes a bus emission reduction device funding program. The elements of this policy attempt to strike a balance between facilitating operators' ability to remain in compliance with CARB requirements and to exceed those requirements by achieving greater NO<sub>x</sub> reductions on the one hand, and making the most effective use of the region's limited capital funds on the other. The elements of bus emission reduction device replacement program are:

- Requests to replace bus emission reduction devices or device components in order to maintain compliance with or exceed CARB requirements, including first-time retrofits, upgrades, replacements and spares, will be treated as Score 16 projects, subject to the following requirements:
  - Devices or components must be installed on buses that are scheduled to remain in service for at least five (5) years from year of programming. Devices or components to be installed on buses that are scheduled to be replaced prior to the specified years will be treated as Preventive Maintenance (Score 9).
- Requests to procure spare devices or components up to 10% of the operators' current device inventory will be treated as Score 16. Spare devices or components in excess of 10% of the inventory will be treated as Preventive Maintenance (Score 9)
- Projects treated as Score 16 under the bus emission reduction device funding program require a 50% local match, rather than the standard 20%. The intent of this element is to encourage cost-effective use of the region's limited capital funding, and to align with the original policy for procuring the devices, which had the regional contribution to NO<sub>x</sub> reduction and the local contribution for PM reduction.
- Participation in the program is entirely voluntary. It is the responsibility of each operator to determine the best approach to achieving and maintaining compliance with CARB requirements.

#### **Vehicle Procurement Reserves**

The TCP Program may reserve funds for future programming for major vehicle replacement/procurement projects (e.g. BART, SFMTA, Caltrain). The programming of such reserves will be based on the cash-flow needs of the projects and available revenue streams.

**Grant Spend-down Policy**

This policy conditions new programming on the expenditure of prior year grants in order to direct the region’s limited funds to the projects most in need of additional resources and accelerate the delivery of TCP projects.

The focus of this policy is on fixed guideway (FG) projects, as vehicle procurement projects are generally completed in a timely manner. Each year, MTC staff will calculate the balance of older FG grants from TrAMS data in consultation with each operator. The goal amounts will be compared against TrAMS grant balances for the appropriate grants in September of each year to determine if the goals have been met. The policy establishes a target for spending a specified percentage of the grant balance each year. Table 9 below explains the spend-down goals for each program year.

If the goals for each operator are met, the full FG cap amounts specified for that operator in the relevant section above will be programmed, subject to funding availability. However, if the target is not met, staff will defer the FG funding for those operators not meeting their goals proportionate to the percentage of the prior-year grants unexpended. If the goal is then met in subsequent years, the full FG cap would be programmed, subject to funding availability. Additionally, operators will have the opportunity to request deferred FG cap amounts in later years, subject to meeting their grant spend-down goals and availability of funding. Programming of these deferred caps will be treated as a lower priority than other Score 16 projects.

Fixed guideway programming for FY2016-17 will be based on an analysis of grant spending in September of 2016. The preliminary program for FY2017-18 through FY2019-20 will include the full cap amounts, but will be conditioned on meeting the grant spend-down goals in the appropriate year. Should an operator not meet its target in a given year, the FG cap amount in the preliminary program would be reduced accordingly in that year’s POP amendment.

**Table 9: FY2016-17 to FY2019-20 Program Grant Spend-Down Policy**

Program Year	Basis for Balance	Spend-Down Target	Spend-Down Period
FY2015-16	Undisbursed balance of FG grants awarded FY2011-12 or earlier, as of 9/ 2014	1/3 of balance	9/2014 to 9/2015
FY2016-17		½ of remaining balance, as of 9/2015	9/2015 to 9/2016
FY2017-18		Remaining balance, as of 9/2016	9/2016 to 9/2017
FY2018-19	Undisbursed balance of FG grants awarded FY2014-15 or earlier, as of 9/2017	1/3 of balance	9/2017 to 9/2018
FY2019-20		½ of remaining balance, as of 9/2018	9/2018 to 9/2019
FY2020-21		Remaining balance, as of 9/2019	9/2019 to 9/2020

### **Joint Procurements**

In recognition of the policy direction of the Transit Sustainability Project Resolution No. 4060, before TCP funds are programmed for revenue vehicles, non-revenue vehicles, communications and vehicle location systems, fare collection equipment, bus emission reduction devices, computer systems, including management information systems and maintenance/asset management systems, or other equipment, operators must evaluate and pursue, as appropriate, opportunities for joint procurements and integrated operations with other operators. The “Compensation for Cost Effective Bus Purchases” that was introduced into the TCP Policy with the prior update will provide operators an extra incentive to pursue joint procurement opportunities. MTC will coordinate discussions if requested.

### **Transit Asset Management**

FTA issued a final rule related to transit asset management and NTD reporting for transit providers in July, 2016; the effective date of the rule is October 1, 2016. The rule establishes a National Transit Asset Management (TAM) System in accordance with the Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21). The National TAM System elements include the definition of “state of good repair”, a requirement that providers develop and carry out a TAM plan, performance measures and targets for capital assets, reporting requirements, and the application of analytical processes and decision support tools.

### ***Implementation Timeline & Rule Compliance***

#### ***TAM Plans***

A provider’s initial TAM plan must be completed **no later than two years after the effective date of the final rule i.e. by September 2018**. A TAM Plan must cover a horizon period of at least four (4) years and must be updated at least once every four years. The Plan update should coincide with the planning cycle for the relevant Transportation Improvement Program or Statewide Transportation Improvement Program.

#### **TAM Plan Requirements**

TAM Plan Requirements apply to all direct recipients and sub-recipients of Federal financial assistance under 49 U.S.C. Chapter 53 that own, operate, or manage capital assets used for providing public transportation. The TAM Plan requirements also vary based on whether the provider is a Tier 1, or Tier 2 provider:

- Tier 1 Providers – All rail transit providers and all recipients that own, operate or manage 101 or more vehicles in revenue service during peak regular service across all fixed route modes or in any one non-fixed route mode. Tier 1 providers must develop TAM plans including elements 1 – 9 listed below.
- Tier 2 Providers – A recipient that owns, operates, or manages 100 or fewer vehicles in revenue service during peak regular service across all non-rail fixed

route modes or in any one non-fixed route mode, or is a sub-recipient under the 5311 Rural Area Formula Program. Tier 2 operators may develop their own TAM plan or participate in a group TAM plan and need only include elements 1 – 4 as listed below. A sponsor must develop a group TAM plan for its Tier 2 sub-recipients, except those sub-recipients that are also direct recipients under 49 U.S.C. 5307.

*TAM Plan Elements*

- i. An inventory of the number and type of capital assets owned by the provider except equipment with an acquisition value under \$50,000 that is not a service vehicle. The inventory must include third-party owned or jointly procured exclusive-use maintenance facilities, administrative facilities, rolling stock, and guideway infrastructure used by a provider in the provision of public transportation. The asset inventory must be organized at a level of detail commensurate with the level of detail in the provider's program of capital projects.
- ii. A condition assessment of those inventoried assets for which a provider has direct capital responsibility.
- iii. A description of the analytical processes or decision-support tools that a provider uses to estimate capital investment needs over time and develop its investment prioritization.
- iv. A provider's project-based prioritization of investments
- v. A provider's TAM and SGR policy
- vi. A provider's TAM plan implementation strategy
- vii. A description of key TAM activities that a provider intends to engage in over the TAM plan horizon period
- viii. A summary or list of the resources, including personnel, that a provider needs to develop and carry out the TAM plan; and
- ix. An outline of how a provider will monitor, update, and evaluate, as needed, its TAM plan and related business practices to ensure continuous improvement of TAM practices

MTC is proposing that the region take a coordinated approach in complying with the rule, in order to maximize the potential for region-wide benefits, including, but not limited to, the development of a group plan for Tier 2 operators.

*Performance Targets*

Additionally, recipients need to report on the condition of their system and performance targets. The final rule establishes SGR standards and four SGR performance measures. Targets for the following fiscal year must be set, for each applicable asset class, within **three months of the effective date of the final rule (January 1, 2017) and each subsequent year thereafter**. To the extent practicable, a provider must coordinate with the States and MPOs in the selection of State and MPO

performance targets. In addition, MTC will need to set regional performance targets for transit asset condition.

The individual operator targets will also serve as the basis of the regional performance targets. To facilitate the translation of operator to regional performance targets, MTC is proposing some parameters for operators to follow in the setting of their agency TAM targets, including:

- Consistency with Plan Bay Area and Transit Capital Priorities (TCP) Policies – With a goal of establishing a nexus between performance targets and MTC’s programming and planning policies, transit operator performance targets should be as consistent as possible with Plan Bay Area investments and current programming policies.
- Limited/Consistent Asset Classes – Since targets are required to be set for each relevant asset class, MTC is proposing to limit or consolidate the number of motor bus asset classes that have associated targets to be consistent with the bus/van price list used in the TCP process and guidance from the FTA on target-setting by asset class for facilities. Without some standardization of asset classes, the variations of asset classes among operators would result in an unwieldy number of targets.

MTC, as a designated recipient, is required to report to the Department of Transportation on the condition of its recipients’ public transportation systems and performance targets. Therefore, all operators are required to report their targets to MTC prior to the end of each calendar year.

**Transit Core Capacity Challenge Grant Program: Resolution No. 4123**

The Transit Core Capacity Challenge Grant program (CCCGP) makes a policy commitment of approximately \$7.4 billion in federal, state, regional and local funds over the FY2014-15 to FY2029-30 period to high-priority transit capital projects that will improve the capacity and state of good repair of transit services in the urban core of the region.

The \$7.4 billion Core Capacity Challenge Grant program:

- \* Focuses on the SFMTA, BART, and AC Transit – the three transit operators that carry 80% of the region’s passengers as well as more than three-quarters of the minority and low-income passengers.
- \* Leverages regional discretionary funds and local contributions, including proposed Cap and Trade revenue.
- \* Accelerates and solidifies funding for fleet replacement projects, and identifies new funding for key enhancement projects.
- \* Requires that the participating operators meet the performance objectives of the Transit Sustainability Project.



TCP programming for all projects identified in the CCCGP will be consistent with the funding amounts, local match requirements and other terms and conditions specified in MTC Resolution No. 4123.

All projects proposed for TCP funding in the CCCGP that are not otherwise Score 16 will be treated as Score 16. CCCGP fixed guideway infrastructure projects included in the CCCGP program of projects may be funded with a combination of fixed guideway cap funds and additional TCP funds above the operator's fixed guideway cap. Programming for CCCGP projects is based on cash flow needs, funding availability, and other policy elements.

In order to meet cash flow needs of the CCCGP and other TCP projects in years in which project funding needs exceed the region's annual FTA apportionments, financing may be required to advance future FTA/STP revenues. Debt service, including principal and interest payments, for any such financing will be treated as Score 17.

### **Financing**

MTC staff, working with financial and legal advisors, and transit operator staff through the Partnership's Transit Finance Working Group, has been developing plans to finance one or more transit capital projects by borrowing against future Federal Transit Administration (FTA) formula funds. The projects would be funded all or in part with proceeds of the financing, rather than annual FTA apportionments programmed through the Transit Capital Priorities (TCP) program. A portion of the region's apportionments would be used to make debt service payments. The objective of financing is to accelerate the funding and delivery of critical capital projects by advancing FTA funds from future years when annual apportionments are projected to exceed high-priority needs, to the next four-year TCP programming cycle, when needs are projected to exceed annual apportionments.

The need for financing was anticipated when MTC adopted the Core Capacity Challenge Grant Program (Resolution 4123) in 2013, which established a \$7.5 billion, 16-year funding framework for a set of key projects designed to increase capacity and improve the state of good repair of transit service in the urban core of the region, including fleet replacement and expansion for BART, SFMTA and AC Transit, and related infrastructure projects. The Core Capacity funding plan includes \$3.5 billion in FTA and other federal funds, of which a portion would be advanced through financing to accelerate completion of the projects.

The specific terms of any financing would be subject to agreements between the operator and MTC, MTC, the operator, and FTA, and MTC and bondholders. Debt service, including principal and interest payments, will have the highest priority among programming needs and will receive a Score 17 in developing the program. Debt service will be paid from apportionments in the same urbanized area(s) in which the operator

whose project(s) are being financed is eligible. It is expected that any debt would be repaid over a 10-15 year period.

**Vanpool Reporting & Programming**

Vanpool service providers under contract to MTC will report vanpool miles and other data to NTD starting in NTD Reporting Year 2018 (i.e., starting with vanpool services provided from July 2017 through June 2018). As part of the development of the TCP program, starting with the FY2019-20 program, staff will present to TFWG an analysis of the projected amount of 5307 apportionments generated in each urbanized area by vanpool mileage reporting (5307 apportionments are based on NTD data from two years earlier, i.e., data reported to NTD in Reporting Year 2018 will be used to calculate apportionments for FY20). Staff will propose to include in the TCP program, starting with the FY2019-20 program, 5307 funds for the Vanpool Support Program.

The amount proposed for programming from each urbanized area will not exceed the projected apportionments generated by vanpool reporting in the urbanized area. Any apportionments that are generated by vanpool reporting but are not programmed for the Vanpool Support Program will be available for programming to transit operator projects following the TCP programming guidelines. Staff anticipates submitting its own 5307 grants to FTA to request funds programmed for the Vanpool Support Program, but may elect to ask one or more transit operators to request the funds on MTC's behalf, and enter into a pass-through agreement with MTC.

#### **IV. ONE BAY AREA GRANT PROGRAM TRANSIT CAPITAL PROGRAM**

The Commission's Cycle 2 / One Bay Area Grant Program (OBAG 1) Program Project Selection Criteria and Programming Policy for FY2012-13 through FY 2016-17, MTC Resolution No. 4035, Revised, included \$201 million in STP/CMAQ funding for transit capital needs, including Clipper® Fare Collection Media, Transit Capital Rehabilitation, and the Transit Performance Initiative (TPI) Program. Specific projects are included in Attachment B-1 to MTC Resolution No. 4035, Revised.

The Commission's One Bay Area Grant Program Second Round (OBAG 2) Project Selection Criteria and Programming Policy for FY2017-18 through FY 2021-22, MTC Resolution No. 4202, Revised, includes \$189 million in STP/CMAQ funding for transit priorities, including BART car replacement and expansion, replacement of Clipper equipment and development of Clipper 2.0, and the TPI Program. Specific projects will be included in Attachment B-1 to MTC Resolution No. 4202, Revised.

This section specifies the programming policies for OBAG 1 and OBAG 2 funds for TPI and TCP projects.

##### **Transit Performance Initiative**

Under OBAG 1, this program includes investment and performance incentive elements. The investment element implements transit supportive investments in major transit corridors that can be carried out within two years. The focus is on making cost-effective operational improvements on significant trunk lines which carry the largest number of passengers in the Bay Area including transit signal prioritization, passenger circulation improvements at major hubs, and boarding/stop improvements. Under OBAG 1 (FY2012-13 through FY2016-17), a total of \$82 million has been made available for this program.

The incentive program provided financial rewards to transit agencies that improve ridership and/or productivity. For FY2012-13, \$15 million was distributed based on each operator's share of ridership based on final audited FY2010-11 ridership figures. For FY2013-14 through FY2015-16, \$15 million was available annually based on a formula distribution factoring in ridership increase, passenger per hour increase, and ridership. The incentive program is proposed to be discontinued after FY2015-16, as OBAG 2 funding is proposed to be focused on transit capital needs and as the incentive program was generally found to not be as effective as was hoped in incentivizing productivity improvements.

##### **Transit Capital Priorities**

OBAG 1 and OBAG 2 funds that are not programmed for Transit Performance Initiative projects are programmed for transit capital replacement and rehabilitation projects to supplement the FTA funds in the Transit Capital Priorities program. STP/CMAQ funds for

TCP projects from OBAG 1 were programmed in the TCP programs for FY2012-13 through FY2015-16. STP/CMAQ funds for TCP projects from OBAG 2 will be programmed in the TCP program for FY2016-17 through FY2019-20. OBAG 2 funds for TCP projects will be programmed using the same policies and procedures as used for the FTA formula funds, as specified in Section III. FTA Formula Funds, with priority given to Score 16 projects that meet the eligibility criteria for STP or CMAQ, and that cannot be fully funded with FTA funds within the program's fiscal constraints.

**APPENDIX 1 – BOARD RESOLUTION**

***Sample Resolution of Board Support***

***FTA Section 5307, 5337, and 5339, and Surface Transportation Program Project Application***

**Resolution No. \_\_\_\_\_**

**AUTHORIZING THE FILING OF AN APPLICATION FOR FTA FORMULA PROGRAM AND SURFACE TRANSPORTATION PROGRAMS FUNDING FOR (project name) AND COMMITTING THE NECESSARY LOCAL MATCH FOR THE PROJECT(S) AND STATING THE ASSURANCE OF (name of jurisdiction) TO COMPLETE THE PROJECT**

**WHEREAS**, Fixing America’s Surface Transportation (FAST, Public Law 114-94) continues and establishes new Federal Transit Administration formula programs (23 U.S.C. §53) and continues the Surface Transportation Program (23 U.S.C. § 133); and

**WHEREAS**, pursuant to FAST, and the regulations promulgated there under, eligible project sponsors wishing to receive Federal Transit Administration (FTA) Section 5307 Urbanized Area, Section 5337 State of Good Repair, or Section 5339 Bus and Bus Facilities (collectively, FTA Formula Program) grants or Surface Transportation Program (STP) grants for a project shall submit an application first with the appropriate metropolitan transportation planning organization (MPO), for review and inclusion in the MPO's Transportation Improvement Program (TIP); and

**WHEREAS**, the Metropolitan Transportation Commission is the MPO for the San Francisco Bay region; and

**WHEREAS**, (applicant) is an eligible project sponsor for FTA Formula Program or STP funds; and

**WHEREAS**, (applicant) wishes to submit a grant application to MTC for funds from the FY2016-17 through FY2019-20 FTA Formula Program or STP funds, for the following project(s):  
(project description) .

**WHEREAS**, MTC requires, as part of the application, a resolution stating the following:

- 1) the commitment of necessary local matching funds (18-50% for FTA Formula Program funds, depending on project type, and 11.47% for STP funds); and
- 2) that the sponsor understands that the FTA Formula Program and STP funding is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded from FTA Formula Program or STP funds; and

- 3) the assurance of the sponsor to complete the project as described in the application, and if approved, as programmed in MTC's TIP; and
- 4) that the sponsor understands that FTA Formula Program funds must be obligated within three years of programming and STP funds must be obligated by January 31 of the year that the project is programmed for in the TIP, or the project may be removed from the program.

**NOW, THEREFORE, BE IT RESOLVED** by (governing board name) that (applicant) is authorized to execute and file an application for funding under the FTA Formula Program and/or Surface Transportation Program in the amount of (\$request) for (project description); and

**BE IT FURTHER RESOLVED** that (governing board) by adopting this resolution does hereby state that:

- 1) (applicant) will provide (\$ match amount) in local matching funds; and
- 2) (applicant) understands that the FTA Formula Program and STP funding for the project is fixed at ( \$ actual amount), and that any cost increases must be funded by the (applicant) from local matching funds, and that (applicant) does not expect any cost increases to be funded with FTA Formula Program and Surface Transportation Program funds; and
- 3) (project name) will be built as described in this resolution and, if approved, for the amount shown in the Metropolitan Transportation Commission (MTC) Transportation Improvement Program (TIP) with obligation occurring within the timeframe established below; and
- 4) The program funds are expected to be obligated by January 31 of the year the project is programmed for in the TIP; and
- 5) (applicant) will comply with FTA requirements and all other applicable Federal, State and Local laws and regulations with respect to the proposed project; and

**BE IT FURTHER RESOLVED\***, that (agency name) is an eligible sponsor of projects in the program for FTA Formula Program and STP funds; and

**BE IT FURTHER RESOLVED\***, that (agency name) is authorized to submit an application for FTA Formula Program and STP funds for (project name); and

**BE IT FURTHER RESOLVED\***, that there is no legal impediment to (agency name) making applications for FTA Formula Program and STP funds; and

**BE IT FURTHER RESOLVED\***, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and

**BE IT FURTHER RESOLVED**, that (agency name) agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866; and

**BE IT FURTHER RESOLVED** that a copy of this resolution will be transmitted to the MTC prior to MTC programming the FTA Formula Program or Surface Transportation Program funded projects in the Transportation Improvement Program (TIP); and

**BE IT FURTHER RESOLVED** that the MTC is requested to support the application for the project described in the resolution and to program the project, if approved, in MTC's TIP.

**\* Not required if opinion of counsel is provided instead.**

**APPENDIX 2 – OPINION OF COUNSEL**

***Sample Opinion of Legal Counsel  
FTA Section 5307, 5337, 5339 and STP Project Application***

(Date)

To: Metropolitan Transportation Commission  
Fr: (Applicant)  
Re: Eligibility for FTA Section 5307 Program, FTA 5337 State of Good Repair Program, FTA 5339 Bus and Bus Facilities Program, and Surface Transportation Program (STP)

This communication will serve as the requisite opinion of counsel in connection with the application of (Applicant) for funding from the FTA Section 5307, 5337 or 5339 programs, or STP, made available pursuant to the Fixing America's Surface Transportation federal transportation authorization (FAST, Public Law 114-94) or successor legislation.

1. (Applicant) is an eligible sponsor of projects for the FTA Section 5307, 5337 or 5339 programs, or the STP program.
2. (Applicant) is authorized to submit an application for FTA Section 5307, 5337 or 5339 funding, or STP funding for (project).
3. I have reviewed the pertinent state laws and I am of the opinion that there is no legal impediment to (Applicant) making applications FTA Section 5307, 5337 or 5339 program funds, or STP funds. Furthermore, as a result of my examinations, I find that there is no pending or threatened litigation which might in any way adversely affect the proposed projects, or the ability of (Applicant) to carry out such projects.

Sincerely,

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Legal Counsel

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Print name



***Optional Language to add to the Resolution for Local Support***

Project sponsors have the option of consolidating the 'Opinion of Legal Counsel' within the Resolution of Local Support, by incorporating the following statements into the Resolution of Local Support:

***Resolved, that (agency name) is an eligible sponsor of projects in the FTA Formula Program and STP Programs; and be it further***

***Resolved, that (agency name) is authorized to submit an application for FTA Formula Program and STP funds for (project name); and be it further***

***Resolved, that there is no legal impediment to (agency name) making applications for FTA Formula Program and STP funds; and be it further***

***Resolved, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further***

If the above language is not provided within the Resolution of Local Support, an Opinion of Legal Counsel is required as provided (Appendix 2).

# **APPENDIX A – 20**

## ***Regional Policies: Project Funding and Specific Funding Programs***

**San Francisco Bay Area Transit Capital Priorities  
(FTA Sections 5307, 5337 and 5339)  
Program of Projects  
for FY 2016-17 thru FY 2019-20  
MTC Resolution No. 4272**



Date: March 22, 2017  
W.I.: 1512  
Referred By: PAC  
Revised: 07/26/17-C 12/20/17-C  
06/27/18-C 01/23/19-C  
05/22/19-C 06/26/19-C  
09/25/19-C 12/18/19-C  
03/25/20-C 04/22/20-C  
06/24/20-C

ABSTRACT

Resolution No. 4272, Revised

This resolution approves the FY2016-17 through FY2019-20 Transit Capital Priorities preliminary program of projects for inclusion in the Transportation Improvement Program (TIP). The program includes projects funded with FTA Section 5307 Urbanized Area, Section 5337 State of Good Repair, and Section 5339 Bus and Bus Facilities Formula Programs and initially only programs funds in the first year – FY2016-17. In addition, One Bay Area Grant Cycle 2 (OBAG 2) Transit Priorities funds are being programmed in MTC Resolution No. 4202, Revised, and AB 664 Bridge Toll revenues and BATA Project Savings are programmed in MTC Resolution No. 4262 and Resolution No. 4169, Revised, respectively, for FY2016-17 through FY2019-20 Transit Capital Priorities projects. This resolution will be amended to add the remainder of the FY2016-17 through FY2019-20 Transit Capital Priorities program at a future date.

This resolution supersedes and replaces MTC Resolution No. 4219.

This Resolution includes the following attachments:

- Attachment A – FY2016-17 Program of Projects
- Attachment B – FY2017-18 Program of Projects
- Attachment C – FY2018-19 Program of Projects
- Attachment D – FY2019-20 Program of Projects
- Attachment E – FY2016-17 through FY2019-20 Programming Notes

Attachment A of this resolution was revised on July 26, 2017 to make revisions to the Transit Capital Priorities (TCP) program of projects for FY2016-17 as requested by operators and to reconcile the program to expected final FTA apportionments for the same year.

## ABSTRACT

MTC Resolution No. 4272, Revised

Page 2

Attachments A through E of this resolution were revised on December 20, 2017 to program the remainder of FY2017-18 through FY2019-20 TCP programming and make revisions to two projects in the FY2016-17 program of projects as requested by operators.

Attachments A through E of this resolution were revised on June 27, 2018 to make revisions to the TCP program of projects as requested by operators and to reconcile the program to final FY2017-18 FTA apportionments.

Attachments C and E of this resolution were revised on January 23, 2019 to make revisions to the TCP program of projects to reflect a fund exchange with SFMTA for the Central Subway Project and make other revisions to programming as requested by Marin Transit and VTA.

Attachments C through E of this resolution were revised on May 22, 2019 to make revisions to the TCP program of projects as requested by operators and to reconcile the program to final FY2018-19 FTA apportionments.

Attachments C and D of this resolution were revised on June 26, 2019 to make revisions to the TCP program of projects as requested by operators, correct errata in GGBHTD's FY2019-20 programming, and reconcile the small urbanized area Section 5339 formula programming with final FY2018-19 FTA apportionments.

Attachments A, B, C, and E of this resolution were revised on September 25, 2019 to de-program \$2 million of FY2016-17 Section 5307 funds from the ECCTA Bus Replacement project and reprogram \$1 million of FY2017-18 and \$512,543 of FY2018-19 Section 5339 funds from ECCTA Fare Collection and Bus Replacement projects to the ECCTA Oakley Park & Ride project.

Attachments B and D of this resolution were revised on December 18, 2019 to reprogram \$5.6 million of FY2017-18 FTA Section 5337 funds from WETA Ferry Vessel Rehabilitation to Ferry Vessel Replacement, update project titles accordingly, and reprogram \$1 million of FY2019-20 FTA Section 5307 funds from SFMTA Paratransit Operations Assistance to SFMTA Zero-Emission Bus Procurement.

## ABSTRACT

MTC Resolution No. 4272, Revised

Page 3

Attachments A through E of this resolution were revised on March 25, 2020 to make revisions to the TCP program of projects as requested by operators and to reconcile the program to final FY2019-20 FTA apportionments.

Attachments D and E of this resolution were revised on April 22, 2020 to make revisions to reconcile the programming with final FY2019-20 FTA apportionments, add programming for Sonoma-Marín Area Rail Transit (SMART), and make other revisions at operators' request and consistent with the TCP Process and Criteria.

Attachments A through E of this resolution were revised on June 24, 2020 to make revisions and technical corrections to the TCP program of projects as requested by operators and consistent with the TCP Process and Criteria.

Further discussion of the TCP program of projects is contained in the Programming and Allocations Committee summary sheets dated March 8, 2017, July 12, 2017, December 13, 2017, June 13, 2018, January 9, 2019, May 8, 2019, June 12, 2019, September 4, 2019, December 11, 2019, March 11, 2020, and June 10, 2020, and the Commission summary sheet dated April 22, 2020.

Date: March 22, 2017  
W.I.: 1512  
Referred By: PAC

RE: San Francisco Bay Area Regional Transit Capital Priorities

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4272

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Sections 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county Bay Area and is required to prepare and endorse a Transportation Improvement Program (TIP) which includes a list of priorities for transit capital projects; and

WHEREAS, MTC is the designated recipient of the Federal Transit Administration (FTA) Section 5307 Urbanized Area, Section 5337 State of Good Repair, and Section 5339 Bus and Bus Facilities funds for the large urbanized areas of San Francisco-Oakland, San Jose, Concord, Antioch, and Santa Rosa, and has been authorized by the California Department of Transportation (Caltrans) to select projects and recommend funding allocations subject to state approval for the FTA Section 5307 and Section 5339 funds for the small urbanized areas of Vallejo, Fairfield, Vacaville, Napa, Livermore, Gilroy-Morgan Hill, and Petaluma in MTC's Federal Transportation Improvement Program; and

WHEREAS, MTC has worked cooperatively with the cities, counties and transit operators in the region and with Caltrans to establish priorities for the transit capital projects to be included in the TIP; and

WHEREAS, the process and criteria used in the selection and ranking of such projects are set forth in MTC Resolution No. 4242; and

WHEREAS, the projects to be included in the TIP are set forth in the detailed project listings in Attachments A-D, which are incorporated herein as though set forth at length; now, therefore, be it

RESOLVED, that MTC adopts the FY 2016-17 through FY2019-20 Transit Capital Priorities program of projects to be included in the TIP as set forth in Attachments A-D; and, be it further

RESOLVED, that this resolution supersedes and replaces MTC Resolution 4219, previously approved and adopting a program of projects for the FY2016-17 and FY2017-18 Transit Capital Priorities program; and, be it further

RESOLVED, that the Executive Director or designee is authorized to revise Attachments A-E as necessary to reflect the programming of projects as the projects are revised in the TIP; and be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to forward a copy of this resolution to FTA, and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

A handwritten signature in black ink, appearing to read "Jake Mackenzie", is written over a horizontal line. A long, diagonal stroke extends from the end of the signature down and to the right.

Jake Mackenzie, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in San Francisco, California on March 22, 2017.

Date: March 22, 2017  
W.I.: 1512  
Referred by: PAC  
Revised: 07/26/17-C 12/20/17-C  
06/27/18-C 09/25/19-C  
03/25/20-C 06/24/20-C

Attachment A  
Resolution No. 4272  
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FY 2016-17 Transit Capital Priorities / Transit Capital Rehabilitation Program						
TIP ID	Operator	Project Description	Total FTA Program	FTA Section 5307	FTA Section 5337	FTA Section 5339
<b>Actual Apportionments</b>			<b>429,068,809</b>	<b>216,350,798</b>	<b>200,398,884</b>	<b>12,319,127</b>
<b>Previous Year Carryover</b>			<b>21,951,733</b>	<b>4,394,818</b>	<b>17,174,630</b>	<b>382,285</b>
<b>Funds Available for Programming</b>			<b>451,020,542</b>	<b>220,745,616</b>	<b>217,573,514</b>	<b>12,701,412</b>
<b>Lifeline Set-Aside</b>						
Reserved	Various	Reserved for programming in Lifeline Transportation Program	3,368,200	3,368,200		
<b>ADA Operating Set-Aside</b>						
ALA990076	AC Transit	ADA Paratransit Assistance	3,856,331	3,856,331		
ALA170079	ACE	Railcar Midlife Overhaul	51,578	51,578		
BRT99T01B	BART	ADA Paratransit Capital Accessibility Improvements	2,415,999	2,415,999		
SM-170010	Caltrain	TVM Rehab and Clipper Functionality	175,410	175,410		
CC-99T001	CCCTA	ADA Paratransit Assistance	1,207,778	1,207,778		
CC-030035	ECCTA	ADA Operating Assistance	541,024	541,024		
MRN150014	GGBHTD	Ferry Major Components Rehab	175,309	175,309		
ALA990077	LAVTA	ADA Paratransit Operating Subsidy	341,904	341,904		
MRN110047	Marin Transit	ADA Paratransit Assistance	701,236	701,236		
NAP030004	Napa Vine	ADA Operating Assistance	63,311	63,311		
SON150007	Petaluma	ADA Set-Aside	90,300	90,300		
SM-990026	SamTrans	ADA Paratransit Operating Subsidy	1,773,353	1,773,353		
SON170003	Santa Rosa	ADA Operating Assistance	236,154	236,154		
SF-990022	SFMTA	ADA Paratransit Operating Support	4,591,625	4,591,625		
SOL110025	SolTrans	ADA Paratransit Operating Subsidy	290,178	290,178		
SON150013	Sonoma County	SCT Replacement Bus Purchase	25,581	25,581		
ALA170039	Union City	ADA Set-Aside	134,260	134,260		
SCL050046	VTA	ADA Operating Set-Aside	3,754,433	3,754,433		
CC-990045	Westcat	ADA Paratransit Operating Subsidy	258,365	258,365		
<b>Total Program Set-asides and Commitments</b>			<b>24,052,329</b>	<b>24,052,329</b>	<b>-</b>	<b>-</b>
<b>Funds Available for Capital Programming</b>			<b>426,968,213</b>	<b>196,693,287</b>	<b>217,573,514</b>	<b>12,701,412</b>
<b>Capital Projects</b>						
ALA170028	AC Transit	Purchase 35 40-ft Hybrid-Electric Buses	14,472,150	14,472,150		
ALA170027	AC Transit	Purchase 34 36 45-ft Over-the-Road Coaches	5,924,378	4,587,713		1,336,665
ALA170029	AC Transit	PM Swap - Replace 9 40' Urban Buses - Battery	3,003,000	3,003,000		
ALA990052	AC Transit	Paratransit Van Capital Costs	1,168,994	1,168,994		
ALA170030	AC Transit	Preventive Maintenance (deferred comp)	780,640	780,640		
ALA170079	ACE	Railcar Midlife Overhaul	3,080,000		3,080,000	
ALA170048	ACE	FG: Capital Access Fees and Track/Signal Maintenance	1,490,000	1,355,640	134,360	
BRT030005	BART	Traction Power	17,000,000	12,777,726	4,222,274	
BRT97100B	BART	Rail, Way, and Structures Program	17,000,000		17,000,000	
BRT030004	BART	Train Control	10,000,000	10,000,000		
REG090037	BART	Railcar Procurement Program	6,426,296	364,117	6,062,179	
ALA990065	BART	Fare Collection Equipment	6,211,000		6,211,000	
SF-010028	Caltrain	Caltrain Electrification - EMU Procurement	31,805,399	31,805,399		
SM-170005	Caltrain	South San Francisco Station Rehabilitation	16,207,600		16,207,600	
REG090051	Caltrain	Revenue Vehicle Rehab Program	5,000,000		5,000,000	
SM-03006B	Caltrain	Systemwide Track Rehabilitation	4,693,408		4,693,408	
SM-050041	Caltrain	Communications System/Signal Rehabilitation	1,200,000		1,200,000	
NEW	ECCTA	Oakley Park & Ride	812,898	812,898		
SOLO10006	Fairfield	Operating Assistance	2,493,081	2,493,081		
SOL110041	Fairfield	Bus Replacement	269,387			269,387
MRN050025	GGBHTD	Facilities Rehabilitation	4,600,000	4,600,000		
MRN030010	GGBHTD	Ferry Fixed Guideway Connectors	3,000,000		3,000,000	
MRN170009	GGBHTD	Replacing 6 Paratransit 22' Gas Cut-away Vehicles	557,202			557,202
MRN170003	Marin Transit	Replace 3 Paratransit Vehicle	218,940	218,940		
MRN170004	Marin Transit	Replace 2 Paratransit Vehicles with Vans	85,280	85,280		
NAP970010	Napa VINE	Operating Assistance	2,084,334	2,084,334		
NAP090008	Napa VINE	Replacement and Upgrades to Equipment	180,025	15,278		164,747
SON170004	Petaluma	Purchase 1 Replacement Paratransit Vehicle	45,100	45,100		
SON170005	Petaluma	Transit Yard & Facilities Improvements	45,100	45,100		
SM-150005	SamTrans	Replacement of 2003 Gillig Buses	1,976,200	1,976,200		
SON090023	Santa Rosa	Operating Assistance	1,526,857	1,526,857		
SON090024	Santa Rosa	Preventive Maintenance	455,861	455,861		
SF-170004	SFMTA	Replacement of 40' Trolley Coaches	95,660,612		95,660,612	
SF-150005	SFMTA	Replacement of 40' Motor Coaches	63,128,520	63,128,520		
SF-170005	SFMTA	Replacement of 60' Trolley Coaches	28,100,579		28,100,579	
SF-150006	SFMTA	Replacement of 60' Motor Coaches	10,008,506	5,295,178		4,713,328
SOL090034	SolTrans	Bus Purchase (Alternative Fuel)	2,190,339	1,824,023		366,316



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FY 2016-17 Transit Capital Priorities / Transit Capital Rehabilitation Program						
TIP ID	Operator	Project Description	Total FTA Program	FTA Section 5307	FTA Section 5337	FTA Section 5339
SOL070032	SolTrans	Preventive Maintenance	837,984	837,984		
SOL110040	SolTrans	Operating Assistance	560,000	560,000		
SON030005	Sonoma County	Preventive Maintenance	1,280,000	1,280,000		
SON150013	Sonoma County	SCT Replacement Bus Purchase	610,089	430,080		180,009
ALA170014	Union City	Replace 6 2009 Paratransit Cut-away vehicles	846,240	846,240		
NEW	Union City	Zero-Emission Bus Procurement	141,040	141,040		
SOL010007	Vacaville	Operating Assistance	890,000	890,000		
SCL050001	VTA	Standard and Small Bus Replacement	20,000,000	17,107,280		2,892,720
SCL170011	VTA	Replace Rail Crossing Control Equipment	4,368,000		4,368,000	
SCL050002	VTA	Rail Replacement Program	4,334,405		4,334,405	
SCL170005	VTA	Paratransit Vehicle Procurement	2,893,751	2,893,751		
SCL050049	VTA	Rail Substation Rehab/Replacement	2,644,841		2,644,841	
SCL170006	VTA	Replace Fault Monitoring System on LRVs	2,255,200		2,255,200	
SCL170010	VTA	Guadalupe Train Wash Replacement	1,448,000		1,448,000	
SCL110099	VTA	Light Rail Bridge & Structure SGR	1,440,000		1,440,000	
SCL170008	VTA	Vasona Pedestrian Back Gates	1,207,559		1,207,559	
SCL150005	VTA	Train-to-Wayside Communications System Upgrade	1,084,600		1,084,600	
SCL170007	VTA	Pedestrian Swing Gates Replacement	704,000		704,000	
SCL170009	VTA	Chaboya Yard Well Removal	196,000		196,000	
CC-170006	WestCAT	Replacement of 2 40' Revenue Vehicles	882,320	882,320		
CC-170007	WestCAT	Purchase of 2 Fast Fare Electronic Fareboxes	28,498	28,498		
		<b>Total Capital Projects</b>	<b>411,554,213</b>	<b>190,819,222</b>	<b>210,254,617</b>	<b>10,480,374</b>
		<b>Total Programmed</b>	<b>435,606,542</b>	<b>214,871,551</b>	<b>210,254,617</b>	<b>10,480,374</b>
		<b>Fund Balance</b>	<b>15,414,000</b>	<b>5,874,065</b>	<b>7,318,897</b>	<b>2,221,038</b>

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FY 2017-18 Transit Capital Priorities / Transit Capital Rehabilitation Program						
TIP ID	Operator	Project Description	Total FTA Program	FTA Section 5307	FTA Section 5337	FTA Section 5339
<b>Actual Apportionments</b>			<b>479,370,309</b>	<b>224,379,528</b>	<b>238,132,825</b>	<b>16,857,956</b>
<b>Previous Year Carryover</b>			<b>15,414,000</b>	<b>5,874,065</b>	<b>7,318,897</b>	<b>2,221,038</b>
<b>Funds Available for Programming</b>			<b>494,784,309</b>	<b>230,253,593</b>	<b>245,451,722</b>	<b>19,078,994</b>
<b>Lifeline Set-Aside</b>						
Reserved	Various	Reserved for programming in Lifeline Transportation Program	3,437,064	3,437,064		
<b>ADA Operating Set-Aside</b>						
ALA990076	AC Transit	ADA Paratransit Assistance	3,935,175	3,935,175		
ALA170079	ACE	Railcar Midlife Overhaul	52,633	52,633		
BRT99T01B	BART	ADA Paratransit Capital Accessibility Improvements	2,465,395	2,465,395		
SM-170010	Caltrain	TVM Rehab and Clipper Functionality	178,996	-	178,996	
CC-99T001	CCCTA	ADA Paratransit Assistance	1,232,472	1,232,472		
MRN150014	GGBHTD	Ferry Major Components Rehab	178,839	178,839		
ALA990077	LAVTA	ADA Paratransit Operating Subsidy	349,165	349,165		
MRN110047	MCTD	ADA Paratransit Assistance	715,573	715,573		
NAP030004	Napa Vine	ADA Operating Assistance	64,606	64,606		
SON150007	Petaluma	ADA Set-Aside	92,187	92,187		
SM-990026	SamTrans	ADA Paratransit Operating Subsidy	1,809,609	1,809,609		
SON170003	Santa Rosa	ADA Operating Assistance	240,982	240,982		
SF-990022	SFMTA	ADA Paratransit Operating Support	4,685,502	4,685,502		
SOL110025	SoTrans	ADA Paratransit Operating Subsidy	296,111	296,111		
SON150013	Sonoma County	SCT Replacement Bus Purchase	26,116	26,116		
CC-030035	ECCTA	ADA Operating Assistance	552,085	552,085		
ALA170039	Union City	ADA Set-Aside	137,005	137,005		
SCL050046	VTA	ADA Operating Set-Aside	3,831,392	3,831,392		
CC-990045	Westcat	ADA Paratransit Operating Subsidy	263,648	263,648		
REG090057	WETA	Ferry Mid-Life Refurbishment - Solano, Taurus, Mare Island, & Inti	7,929	7,929		
<b>Total Program Set-asides and Commitments</b>			<b>24,552,483</b>	<b>24,373,487</b>	<b>178,996</b>	<b>-</b>
<b>Funds Available for Capital Programming</b>			<b>470,231,826</b>	<b>205,880,106</b>	<b>245,272,726</b>	<b>19,078,994</b>
<b>Capital Projects</b>						
ALA170082	AC Transit	Purchase (59) 40 40ft Urban Buses - Diesel Zero-Emission	5,820,689			5,820,689
ALA170027	AC Transit	Purchase 34 36 45-ft Over-the-Road Coaches	4,582,729	4,582,729		
ALA990052	AC Transit	Paratransit Van Capital Costs	1,449,739	1,449,739		
ALA170079	ACE	Railcar Midlife Overhaul	2,975,789		2,975,789	
ALA170048	ACE	FG: Capital Access Fees and Track/Signal Maintenance	1,490,000	1,143,890	346,110	
REG090037	BART	Railcar Procurement Program	26,763,592	23,130,134	3,633,458	
BRT97100B	BART	Rail,Way, and Structures Program	17,000,000		17,000,000	
BRT030005	BART	Traction Power	17,000,000		17,000,000	
BRT030004	BART	Train Control	9,563,082		9,563,082	
ALA090065	BART	Fare Collection Equipment	6,211,000		6,211,000	
SF-010028	Caltrain	Caltrain Electrification - EMU Procurement	73,796,897	73,796,897		
SM-03006B	Caltrain	Systemwide Track Rehabilitation	12,893,000		12,893,000	
SM-050041	Caltrain	Comm. System/Signal Rehab.	819,309		819,309	
CC-170051	CCCTA	Replace 42 22' Gasoline 7-Year Paratransit Vans	4,305,000	2,426,455		1,878,545
CC-170053	CCCTA	Replace 3 Gasoline 7-Year Paratransit Minivans	130,380	130,380		
NEW	ECCTA	Oakley Park & Ride	989,240			989,240
SOL010006	Fairfield	Operating Assistance	2,554,835	2,554,835		
SOL110041	Fairfield	Bus Replacement	367,380			367,380
MRN170008	GGBHTD	Replace 67 Fixed Rte 40' Buses	48,457,080	45,104,777		3,352,303
MRN150014	GGBHTD	Ferry Major Components Rehab - MS Marin	2,000,000		2,000,000	
MRN150015	GGBHTD	Ferry Propulsion: MS Marin	2,000,000		2,000,000	
ALA190005	LAVTA	Hybrid Bus Battery Pack Replacement	630,170	245,149		385,021
MRN170005	MCTD	Replace Four (4) Rural Cutaway Vehicles	505,120	505,120		
MRN150011	MCTD	Vehicle Replacement- one Shuttle	102,500	102,500		
NAP970010	Napa Vine	Operating Assistance	2,164,144	2,164,144		
NAP090008	Napa Vine	Replacement and upgrades to equipment	224,681	-		224,681
SON170018	Petaluma	Purchase (1) Replacement Fixed Route Bus	185,867	185,867		
SON170020	Petaluma	Purchase (2) Replacement Paratransit Vans	147,600	147,600		
SON170005	Petaluma	Transit Yard and Facility Improvements	45,800	45,800		
SON170019	Petaluma	Purchase Service Vehicle	28,000	28,000		
SON170017	Petaluma	AVL Equipment	19,200	19,200		
SON090023	Santa Rosa	Operating Assistance	1,614,870	1,614,870		
SON090024	Santa Rosa	Preventive Maintenance	563,010	563,010		
SF-170004	SFMTA	Replacement of 40' Trolley Coaches	93,892,831		93,892,831	
SF-970170	SFMTA	Muni Rail Replacement	10,002,337		10,002,337	
SF-99T005	SFMTA	Rehab Historic Streetcars	7,000,000		7,000,000	
SF-150005	SFMTA	Replacement of 40' Motor Coaches	5,013,526	5,013,526		
SF-050024	SFMTA	Wayside/Central Train Control & Trolley Signal Systems Rehabilita	4,500,000		4,500,000	
SF-970170	SFMTA	Overhead Line Rehabilitation	3,750,000		3,750,000	
SF-150007	SFMTA	Farebox Replacement	2,060,800		2,060,800	
SF 99T002	SFMTA	Cable Car Infrastructure	1,250,000		1,250,000	
SF-970073	SFMTA	Cable Car Vehicle Renovation Program	1,018,464		1,018,464	

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FY 2017-18 Transit Capital Priorities / Transit Capital Rehabilitation Program						
TIP ID	Operator	Project Description	Total FTA Program	FTA Section 5307	FTA Section 5337	FTA Section 5339
SF-170006	SFMTA	Station-Area Pedestrian and Bicycle Access Improvements	250,000		250,000	
SF-030013	SFMTA	Wayside Fare Collection	250,000		250,000	
SOL090034	SolTrans	Bus Purchase (Alternative Fuel)	2,499,530	2,000,000		499,530
SOL070032	SolTrans	Preventive Maintenance	800,000	800,000		
SOL110040	SolTrans	Operating Assistance	510,695	510,695		
SON030005	Sonoma County	Preventive Maintenance	1,280,000	1,280,000		
SON150013	Sonoma County	Replacement Bus Purchase	661,276	425,800		235,476
SOL010007	Vacaville	Operating Assistance	890,000	890,000		
SCL050001	VTA	Standard and Small Bus Replacement	20,000,000	11,738,719	4,335,965	3,925,316
SCL050002	VTA	Rail Replacement Program	15,093,290		15,093,290	
SCL090044	VTA	OCS Rehabilitation Program	6,460,000		6,460,000	
SCL170050	VTA	SCADA Control Center System Replacement	3,015,200		3,015,200	
SCL170007	VTA	Pedestrian Swing Gates	2,720,000		2,720,000	
SCL150008	VTA	VTA Track Intrusion Abatement	1,600,000		1,600,000	
SCL170005	VTA	Paratransit Fleet Program	1,301,449	1,301,449		
SCL170049	VTA	SCADA Middleware Replacement	1,150,400		1,150,400	
SCL170008	VTA	Vasona Pedestrian Back Gates	1,112,441		1,112,441	
SF-110053	WETA	Replace Ferry Vessels	20,428,858	14,868,858	5,560,000	
REG090054	WETA	Ferry Channel Dredging	2,480,000		2,480,000	
REG090057	WETA	Ferry Mid-Life Refurbishment - Taurus, Mare Island, & Intintoli	1,368,071		1,368,071	
		<b>Total Capital Projects</b>	<b>459,759,871</b>	<b>198,770,143</b>	<b>243,311,547</b>	<b>17,678,181</b>
		<b>Total Programmed</b>	<b>484,312,353</b>	<b>223,143,630</b>	<b>243,490,543</b>	<b>17,678,181</b>
		<b>Fund Balance</b>	<b>10,471,956</b>	<b>7,109,963</b>	<b>1,961,180</b>	<b>1,400,813</b>

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FY 2018-19 Transit Capital Priorities / Transit Capital Rehabilitation Program						
TIP ID	Operator	Project Description	Total FTA Program	FTA Section 5307	FTA Section 5337	FTA Section 5339
<b>Actual Apportionments</b>			<b>476,218,214</b>	<b>229,832,145</b>	<b>230,892,790</b>	<b>15,493,279</b>
<b>Previous Year Carryover</b>			<b>10,471,956</b>	<b>7,109,963</b>	<b>1,961,180</b>	<b>1,400,813</b>
<b>Funds Available for Programming</b>			<b>486,690,170</b>	<b>236,942,109</b>	<b>232,853,970</b>	<b>16,894,092</b>

**Lifeline Set-Aside**

Reserved	Various	Reserved for programming in Lifeline Transportation Program	3,508,001	3,508,001		
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**ADA Operating Set-Aside**

ALA990076	AC Transit	ADA Paratransit Assistance	4,394,476	4,394,476		
ALA170079	ACE	Railcar Midlife Overhaul	9,920	9,920		
BRT99T01B	BART	ADA Paratransit Capital Accessibility Improvements	865,835	865,835		
CC-99T001	CCCTA	ADA Paratransit Assistance	1,207,623	1,207,623		
MRN150014	GGBHTD	Ferry Major Components Rehab	171,757	171,757		
ALA990077	LAVTA	ADA Paratransit Operating Subsidy	406,769	406,769		
MRN110047	MCTD	ADA Paratransit Assistance	687,028	687,028		
NAP030004	Napa Vine	ADA Operating Assistance	68,209	68,209		
SON150007	Petaluma	ADA Set-Aside	86,485	86,485		
SON170003	Santa Rosa	ADA Operating Assistance	245,955	245,955		
SM-990026	SamTrans	ADA Paratransit Operating Subsidy	1,854,074	1,854,074		
SF-990022	SFMTA	ADA Paratransit Operating Support	4,343,542	4,343,542		
SOL110025	SolTrans	ADA Paratransit Operating Subsidy	294,296	294,296		
SON150013	Sonoma County	Replacement Bus Purchase	31,966	31,966		
CC-030035	ECCTA	ADA Operating Assistance	556,469	556,469		
ALA170039	Union City	ADA Set-Aside	133,210	133,210		
SCL050046	VTA	ADA Operating Set-Aside	3,808,721	3,808,721		
CC-990045	Westcat	ADA Paratransit Operating Subsidy	244,729	244,729		

<b>Total Program Set-asides and Commitments</b>			<b>22,919,064</b>	<b>22,919,064</b>	<b>-</b>	<b>-</b>
<b>Funds Available for Capital Programming</b>			<b>463,771,106</b>	<b>214,023,045</b>	<b>232,853,970</b>	<b>16,894,092</b>

**Capital Projects**

ALA170081	AC Transit	Replace (24) 60ft Artic Urban Buses - Hybrid 50 40-ft diesel buses	8,556,284	1,097,938		7,458,346
ALA170029	AC Transit	Preventive Maintenance	5,717,246	5,717,246		
ALA990052	AC Transit	Paratransit Van Capital Costs	1,580,574	1,580,574		
ALA170080	AC Transit	Replace (10) 24ft Cut-Away Vans	637,000	637,000		
ALA170038	AC Transit	Replace (6) 24ft Cut-Away Vans	382,200	382,200		
ALA170079	ACE	Railcar Midlife Overhaul	3,070,079	1,409,473	1,660,606	
ALA170048	ACE	FG: Capital Access Fees and Track/Signal Maintenance	1,490,000		1,490,000	
REG090037	BART	Railcar Replacement Program	45,466,817	22,227,925	23,238,892	
BRT97100B	BART	Rail,Way, and Structures Program	17,000,000		17,000,000	
BRT030005	BART	Traction Power	10,000,000		10,000,000	
BRT030004	BART	Train Control	10,000,000		10,000,000	
ALA190014	BART	Elevator Renovation Program	7,000,000		7,000,000	
ALA090065	BART	Fare Collection Equipment	6,211,000	6,211,000		
BRT99T01B	BART	ADA Paratransit Capital Accessibility Improvements	1,896,182		1,896,182	
SF-010028	Caltrain	Caltrain Electrification - EMU Procurement	67,582,236	67,582,236		
SM-03006B	Caltrain	Systemwide Track Rehabilitation	13,193,000		13,193,000	
SM-050041	Caltrain	Comm. System/Signal Rehab.	1,200,000		1,200,000	
SM-170010	Caltrain	TVM Rehab & Clipper Functionality (ADA Set-Aside)	222,104		222,104	
NEW	ECCTA	Oakley Park & Ride	512,543			512,543
SOL010006	Fairfield	Operating Assistance	2,597,033	2,597,033		
SOL110041	Fairfield	Bus Replacement	336,529			336,529
MRN030010	GGBHTD	Ferry Fixed Guideway Connectors	13,500,000		13,500,000	
MRN050025	GGBHTD	Facilities Rehabilitation	8,600,000	8,600,000		
MRN170024	GGBHTD	Replace 14 Paratransit Vehicle	1,044,680			1,044,680
MRN150015	GGBHTD	Ferry Vessel Propulsion Systems Rehab	500,000		500,000	
ALA190005	LAVTA	Hybrid Bus Battery Pack Replacement	169,830			169,830
MRN170006	MCTD	Replace Articulated Vehicles	7,216,000	7,216,000		
NAP970010	Napa Vine	Operating Assistance	2,623,951	2,623,951		
NAP090008	Napa Vine	Equipment Replacement & Upgrades	205,812			205,812
SON170017	Petaluma	AVL Model Upgrade	60,000	60,000		
SM150011	SamTrans	Purchase of Replacement Minivans	619,920	619,920		
SON150008	Santa Rosa	Fixed Route Bus Replacement	1,309,308	431,309		877,999
SON090023	Santa Rosa	Operating Assistance	1,095,895	1,095,895		
SON090024	Santa Rosa	Preventive Maintenance	611,309	611,309		
SF-970170	SFMTA	Overhead Line Rehabilitation	20,000,000		20,000,000	
SF-170018	SFMTA	60' Motor Coach Mid-Life Overhaul	19,392,931	19,392,931		
SF-170019	SFMTA	40' Motor Coach Mid-Life Overhaul	16,928,241	16,928,241		
SF-970170	SFMTA	Muni Rail Replacement	16,736,000		16,736,000	
SF-090012	SFMTA	LRV Replacement	13,220,000		13,220,000	
SF-050024	SFMTA	Wayside/Central Train Control & Trolley Signal Systems Rehabilitation	8,640,000		8,640,000	

Date: February 22, 2017

W.I.: 1512

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 03/25/20-C 06/24/20-C

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FY 2018-19 Transit Capital Priorities / Transit Capital Rehabilitation Program						
TIP ID	Operator	Project Description	Total FTA Program	FTA Section 5307	FTA Section 5337	FTA Section 5339
SF-99T005	SFMTA	Rehab Historic Streetcars	8,000,000		8,000,000	
SF-190004	SFMTA	Fixed Guideway Facilities Condition Assessment Implementation Projects	5,900,000	5,000,000	900,000	
SF-190003	SFMTA	Muni Metro East Facility - Boiler Replacement	4,100,000		4,100,000	
SF-190002	SFMTA	L-Taraval Improvement Project - SGR Project Elements	4,070,000		4,070,000	
SF 99T002	SFMTA	Cable Car Infrastructure	4,000,000		4,000,000	
SF-030013	SFMTA	Wayside Fare Collection	2,000,000		2,000,000	
SF-070005	SFMTA	Van Ness BRT - SGR Project Elements	1,830,000		1,830,000	
SF-970073	SFMTA	Cable Car Vehicle Renovation Program	1,042,907		1,042,907	
SF-170006	SFMTA	Station-Area Pedestrian and Bicycle Access Improvements	1,000,000		1,000,000	
SF-150007	SFMTA	Farebox Replacement	336,000	336,000		
SOL110040	SolTrans	Operating Assistance	2,419,610	2,419,610		
SOL070032	SolTrans	Preventive Maintenance	1,000,000	1,000,000		
SOL090034	SolTrans	Bus Purchase Alternative Fuel	457,580			457,580
SON030005	Sonoma County	Preventive Maintenance	1,280,000	1,280,000		
SON170006	Sonoma County	Replacement Bus Purchase	446,684	446,684		
SON150013	Sonoma County	Replacement Bus Purchase	220,141			220,141
SOL010007	Vacaville	Operating Assistance	890,000	890,000		
SCL050001	VTA	Standard & Small Bus Replacement	17,204,124	13,665,061	-	3,539,063
SCL090044	VTA	OCS Rehabilitation Program	12,520,000		12,520,000	
SCL 050002	VTA	Rail Replacement Program	5,692,305		5,692,305	
SCL190027	VTA	SCADA Hardware, Software, & Network Upgrade	4,447,296		4,447,296	
SCL190023	VTA	Bus CCTV Replacement	2,640,000	2,640,000		
SCL190024	VTA	Transit Center Park & Ride Rehabilitation	1,600,000	1,600,000		
SCL190026	VTA	HVAC Replacement	1,448,265	1,448,265		
SCL110099	VTA	LRV Bridge Repair/Hamilton Structural Stabilization	1,080,000		1,080,000	
SCL190025	VTA	Gigabit Ethernet Network	960,000	960,000		
SCL170010	VTA	Replace Guadalupe Train Wash	800,000		800,000	
SCL170009	VTA	Chaboya Yard Well Removal	120,000	120,000		
CC-170010	WestCAT	Replacement of (9) 40ft Revenue Vehicles	3,877,781	3,877,781		
CC-150021	WestCAT	AVL & APC System Procurement & Installation	294,105	294,105		
CC-170020	WestCAT	Replace (2) Minivans	255,840	255,840		
CC-170011	WestCAT	Purchase of (9) Fast Fare Electronic Fareboxes	128,241	128,241		
CC-170013	WestCAT	Purchase of (2) Radio systems for (2) Cut Away Vans	1,600	1,600		
SF-110053	WETA	Ferry Vessel Replacement - Bay Breeze	15,306,920		15,306,920	
REG090057	WETA	Ferry Major Component Rehabilitation	720,000		720,000	
<b>Total Capital Projects</b>			<b>444,194,903</b>	<b>202,366,168</b>	<b>227,006,212</b>	<b>14,822,523</b>
<b>Total Programmed</b>			<b>467,113,967</b>	<b>225,285,232</b>	<b>227,006,212</b>	<b>14,822,523</b>
<b>Fund Balance</b>			<b>19,576,203</b>	<b>11,656,877</b>	<b>5,847,758</b>	<b>2,071,569</b>

Date: March 22, 2017

W.I.: 1512

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 04/22/20-C 06/24/20-C

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FY 2019-20 Transit Capital Priorities / Transit Capital Rehabilitation Program						
TIP ID	Operator	Project Description	Total FTA Program	FTA Section 5307	FTA Section 5337	FTA Section 5339
<b>Final Apportionments</b>			<b>470,042,633</b>	<b>239,075,753</b>	<b>214,847,302</b>	<b>16,119,578</b>
<b>Previous Year Carryover</b>			<b>19,576,203</b>	<b>11,656,877</b>	<b>5,847,758</b>	<b>2,071,569</b>
<b>Funds Available for Programming</b>			<b>489,618,836</b>	<b>250,732,630</b>	<b>220,695,060</b>	<b>18,191,147</b>

**MTC Debt Service**

REG170023	MTC	TCP Financing Repayment Obligations	35,070,000	3,900,000	31,170,000	
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**Lifeline Set-Aside**

Reserved	Various	Reserved for programming in Lifeline Transportation Program	3,580,439	3,580,439		
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**ADA Operating Set-Aside**

ALA990076	AC Transit	ADA Paratransit Assistance	4,461,934	4,461,934		
ALA170079	ACE	Railcar Midlife Overhaul	14,346	14,346		
BRT99T01B	BART	ADA Paratransit Capital Accessibility Improvements	2,800,403	2,800,403		
SM-170010	Caltrain	TVM Rehab & Clipper Functionality (ADA Set-Aside)	62,350	62,350		
CC-99T001	CCCTA	ADA Paratransit Assistance	1,218,311	1,218,311		
MRN150014	GGBHTD	Ferry Major Component Rehabilitation	174,393	174,393		
ALA990077	LAVTA	ADA Paratransit Operating Subsidy	412,325	412,325		
MRN110047	MCTD	ADA Paratransit Assistance	697,574	697,574		
NAP030004	Napa Vine	ADA Operating Assistance	70,704	70,704		
SON150007	Petaluma	ADA Set-Aside	89,821	89,821		
SM-990026	SamTrans	ADA Paratransit Operating Subsidy	1,882,536	1,882,536		
SON170003	Santa Rosa	ADA Operating Assistance	251,035	251,035		
SF-990022	SFMTA	ADA Paratransit Operating Support	3,410,218	3,410,218		
SOL110025	SolTrans	ADA Paratransit Operating Subsidy	305,060	305,060		
SON170006	Sonoma County	SCT Replacment Bus Purchase	33,199	33,199		
CC-030035	ECCTA	ADA Operating Assistance	571,422	571,422		
ALA170039	Union City	ADA Set-Aside	135,255	135,255		
SCL050046	VTA	ADA Operating Set-Aside	3,970,716	3,970,716		
CC-990045	Westcat	ADA Paratransit Operating Subsidy	248,485	248,485		
REG090057	WETA	Ferry Major Component Rehabilitation	17,418	17,418		

<b>Total Program Set-asides and Commitments</b>	<b>59,477,946</b>	<b>28,307,946</b>	<b>31,170,000</b>	<b>-</b>
<b>Funds Available for Capital Programming</b>	<b>430,140,891</b>	<b>222,424,684</b>	<b>189,525,060</b>	<b>18,191,147</b>

**Capital Projects**

ALA170031	AC Transit	Replace (27) 50 40ft Urban Diesel Buses -Hybrid	8,666,696	-		8,666,696
ALA170029	AC Transit	Preventive Maintenance	5,733,468	5,733,468		
ALA990052	AC Transit	Paratransit Van Capital Costs	1,523,374	1,523,374		
ALA170079	ACE	Railcar Midlife Overhaul	2,800,000		2,800,000	
ALA170049	ACE	FG: Capital Access Fees and Track/Signal Maintenance	1,770,000	1,435,563	334,437	
REG090037	BART	Railcar Replacement Program	84,433,454	31,403,598	53,029,856	
BRT97100B	BART	Rail,Way, and Structures Program	17,000,000		17,000,000	
BRT030005	BART	Traction Power	10,000,000		10,000,000	
BRT030004	BART	Train Control	10,000,000		10,000,000	
ALA190014	BART	Elevator Renovation Program	7,000,000		7,000,000	
ALA090065	BART	Fare Collection Equipment	6,211,000		6,211,000	
SF-010028	Caltrain	Caltrain Electrification - EMU Procurement	97,987,868	97,987,868		
SM-03006B	Caltrain	Systemwide Track Rehabilitation	13,171,041		13,171,041	
SM-050041	Caltrain	Comm. System/Signal Rehab.	948,354		948,354	
SM-170010	Caltrain	TVM Rehab & Clipper Functionality (ADA Set-Aside)	441,258		441,258	
REG170022	Clipper	Clipper Next Gen Fare Collection System	14,127,879	14,127,879		
SOL010006	Fairfield	Operating Assistance	2,643,896	2,643,896		
SOL110041	Fairfield	Bus Replacement	350,255			350,255
MRN150014	GGBHTD	Ferry Major Components Rehab	11,390,000		11,390,000	
MRN030010	GGBHTD	Fixed Guideway Connectors	6,060,000		6,060,000	
MRN150015	GGBHTD	Ferry Propulsion Systems Replacement	5,610,000		5,610,000	
MRN170008	GGBHTD	Replace 67 Diesel Buses with Hybrid Buses	5,183,220	5,183,220		
MRN050025	GGBHTD	Facilities Rehab	2,219,491	2,219,491		
SF-170022	GGBHTD	Replace 2 Paratransit Vehicles	150,880	150,880		
NEW	MCTD	Replace 3 Articulated buses with 4 40-ft ZEBs	2,656,800	2,656,800		
NEW	MCTD	Replace Paratransit Vehicles	1,207,040	1,207,040		
MRN150011	MCTD	Replace Nine (9) Shuttle Vehicles	952,020	952,020		
MRN170007	MCTD	Replace 2- 35ft diesel vehicles	697,000	697,000		
MRN110040	MCTD	Preventative Maintenance	70,520	70,520		
NAP970010	Napa Vine	Operating Assistance	2,703,862	2,703,862		
NAP090008	Napa Vine	Equipment Replacement & Upgrades	214,207			214,207
SON190004	Petaluma	Purchase (2) Replacement Paratransit Vans	150,880	-		150,880
SON170017	Petaluma	AVL System Upgrades	100,000	100,000		

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 04/22/20-C 06/24/20-C

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FY 2019-20 Transit Capital Priorities / Transit Capital Rehabilitation Program						
TIP ID	Operator	Project Description	Total FTA Program	FTA Section 5307	FTA Section 5337	FTA Section 5339
SON170005	Petaluma	Transit Yard and Facility Improvements	90,528	85,432		5,096
SON190005	Petaluma	Upgrade Security System	40,000	40,000		
SM150011	SamTrans	Replacement of Cut-away Buses	1,375,140	1,375,140		
SON090023	Santa Rosa	Operating Assistance	1,535,279	1,535,279		
SON090024	Santa Rosa	Preventive Maintenance	648,760	648,760		
SF-970170	SFMTA	Muni Rail Replacement	4,288,000		4,288,000	
NEW	SFMTA	Zero-Emission Bus Procurement	1,000,000	1,000,000		
SOL110040	SolTrans	Operating Assistance	2,485,247	2,485,247		
SOL070032	SolTrans	Preventive Maintenance	1,000,000	1,000,000		
SOL090034	SolTrans	Bus Purchase (Alternative Fuel)	476,244			476,244
SON030005	Sonoma County	SCT Preventive Maintenance	1,280,000	1,280,000		
SON170006	Sonoma County	SCT Replacment Bus Purchase	713,040	483,330		229,710
NEW	SMART	Preventive Maintenance	2,904,588	2,904,588		
NEW	Union City	Electric Bus Procurement	4,440,960	4,440,960		
SOL010007	Vacaville	Operating Assistance	890,000	890,000		
NEW	VTA	Rehabilitation of LRV System Elevators & Escalators	7,440,000		7,440,000	
SCL050001	VTA	Standard and Small Bus Replacement	7,220,578	3,521,503		3,699,075
NEW	VTA	Pedestrian Backgates - non-Vasona	6,560,000		6,560,000	
NEW	VTA	Downtown San Jose Speed Improvements (LRV)	4,920,000		4,920,000	
SCL150008	VTA	Track Intrusion Abatement	4,000,000	4,000,000		
SCL170047	VTA	Paratransit Fleet Program	3,978,116	3,978,116		
NEW	VTA	Facilities ADA Upgrades	2,560,000	2,560,000		
NEW	VTA	Guadalupe Steam Rack Improvements & Liner Replacement	2,400,000		2,400,000	
NEW	VTA	PA System Hardware & Software Upgrade	2,216,352		2,216,352	
NEW	VTA	Guadalupe Roll-up Doors	2,000,000		2,000,000	
NEW	VTA	Fuel Dispenser & UDC Replacement	1,920,000	1,920,000		
NEW	VTA	Cameras for VTA ACCESS Paratransit Vehicles	1,804,850	1,804,850		
NEW	VTA	Mobile Router/Passenger WiFi	1,200,000	1,200,000		
NEW	VTA	Replace/Upgrade Fire Alarm at Guadalupe & Chaboya	1,200,000	1,200,000		
NEW	VTA	Network & Gigabit Fiber Upgrade	1,200,000	1,200,000		
NEW	VTA	Guadalupe Entrance Security Improvements	1,000,000	-	1,000,000	
NEW	VTA	LRV Station Rehabilitation	776,000		776,000	
NEW	VTA	LRV Station Platform CCTV System Replacement	445,600		445,600	
NEW	VTA	Replace UPSs & PDU in OCC/EOC	377,361	377,361		
CC-170008	WestCAT	Replacement of 6 40' Revenue Vehicles	2,745,360	2,745,360		
CC-170009	WestCAT	Purchase of 6 Fast Fare Electronic Fareboxes	85,494	85,494		
REG090067	WETA	Ferry Fixed Guideway Connectors	6,000,000		6,000,000	
REG090057	WETA	Ferry Major Component Rehabilitation	3,554,140		3,554,140	
<b>Total Capital Projects</b>			<b>412,946,100</b>	<b>213,557,899</b>	<b>185,596,038</b>	<b>13,792,163</b>
<b>Total Programmed</b>			<b>472,424,046</b>	<b>241,865,845</b>	<b>216,766,038</b>	<b>13,792,163</b>
<b>Fund Balance</b>			<b>17,194,791</b>	<b>8,866,785</b>	<b>3,929,022</b>	<b>4,398,984</b>

**Transit Capital Priorities / Transit Capital Rehabilitation Program Notes**

1	Program is based on final apportionments as provided by FTA and Caltrans (Small UZA Section 5339 amounts). Program assumes availability of financing proceeds, subject to future Commission authorization. If financing is not secured, this program will be revised accordingly.
2	<p>AC Transit: \$25,416,508 of BATA Project Savings and \$7,672,907 of AB 664 Bridge Toll funds have been programmed to AC Transit's Core Capacity Challenge Grant Program (CCCGP) projects, proportionately, according to the CCCGP funding plan from FY2016-17 through FY2019-20.</p> <p>AC Transit is exercising a Preventive Maintenance Funding Exchange in FY2016-17 for electric battery buses (\$3,003,000), using 5307 for PM in place of local funds for the bus purchases. They are also using compensation for deferred replacement of 40 40-foot diesel electric hybrids for one year (from FY17 to FY18) for \$780,640.</p> <p>AC Transit is exercising a Preventive Maintenance Funding Exchange in FY2018-19 and FY2019-20 for over-the-road coaches (\$11,450,714), using 5307 for PM in place of STIP funds for the bus purchases.</p>
3	<p>Caltrain's FY17 FG cap reduced by \$3,264,826 (\$1,570,770 from FY16 and \$1,694,056 from FY17) to \$11,128,174 due to failure to meet grant spend-down goals in FY15 and FY16.</p> <p>Programming of 5337 funds to the South San Francisco Station and Revenue Vehicle Rehab projects in FY17 is conditioned on action by the SMCTA Board to program an equal dollar amount to the PCEP, fixed guideway projects (up to Caltrain's cap amount) or other Score 16 projects.</p> <p>In July 2017, \$5.2M of 5337 reprogrammed from Systemwide Track Rehab to the South San Francisco Station project to offset an equal reprogramming from the station project to track rehab in the FY15 program. Also, \$5.2 million of 5337 reprogrammed from South San Francisco station project (to be replaced with San Mateo local funds) to the Revenue Vehicle Rehab project; there is no net decrease in funding to the station project from these actions.</p>
4	Petaluma is using compensation for deferred replacement of a paratransit vehicle from FY12 to FY17. They are applying compensation to Transit Yard Facility Project in FY17 (\$45,100).
5	SamTrans, in FY17, is applying for the incremental cost difference between 10 diesel and 10 hybrid 40-foot buses that were programmed in FY15 and FY16. This will help fund the increased cost of purchasing 10 electric buses from the 60 bus replacement project (SM150005) for a demonstration project.
6	<p>SFMTA: \$12,741,300 of BATA Project Savings and \$6,283,687 of AB 664 Bridge Toll funds have been programmed to SFMTA's CCCGP projects, proportionately, according to the CCCGP funding plan in FY2016-17 through FY2019-20. Additionally, CCCGP Funds totalling \$152 million (\$69,443,401 of AB 664 and \$83,000,000 of BATA Project Savings) have been reprogrammed from BART to SFMTA in the FY17-FY20 program period. Allocation of these funds will be committed upon the execution of financing.</p> <p>In FY17, SFMTA's FG reduced by \$21,470,406 to \$12,555,594 due to failure to meet grant spend-down goals in FY16.</p>
7	WETA: \$4,941,210 of FG caps voluntarily deferred in FY15 (\$3,424,000) and FY16 (\$1,517,210) are being restored through FY20.
8	VTA requested and was granted a waiver to program \$5M in FG projects above FG cap amounts in FY17. VTA to produce an SRTP or similar by the end of FY17 so that staff can ensure sufficient FTA funds are available to cover VTA capital needs before granting exceptions for FY18-FY20.
9	GGBHTD: \$23,628,000 of FG caps voluntarily deferred from FY11 through FY16 are being restored in FY19.
10	In FY20, MCTD will request less than bus list price for 2 35-ft diesel buses, and apply 1/12 of savings to a PM project.
11	<p>Petaluma is using compensation for deferred replacement of a paratransit vehicle from FY15 to FY18 and another from FY16 to FY18. They are applying compensation to purchase a service vehicle in FY18 (\$28,000).</p> <p>Petaluma is using compensation for deferred replacement of two paratransit vehicles from FY17 to FY20. They are applying compensation to Transit Yard Facility Project in FY20 (\$90,528).</p>
12	VTA and Caltrain are executing a local fund swap in FY18 and FY19, with VTA applying \$300K of local sales tax funds on a Score 16 FG project for Caltrain and Caltrain directing \$300K of FTA funds for a FG project for VTA. Caltrain's FY18 programming for Systemwide Track Rehab was reduced by \$300K in the San Jose UZA, and VTA's FY19 programming for their Rail Replacement Program was increased by \$300K.
13	WestCat is deferring replacement of 4 40-ft diesel buses from FY17 to FY19. They are applying compensation from deferred replacement to supplement funding for the replacement of 4 40-ft diesel buses with 4 40-ft TBD buses in FY19. The FY19 TCP program will need to be revised to specify the type of buses being procured before WestCAT includes these funds in an FTA grant.
14	WETA is exercising a fund swap, using local funds for ferry vessel replacement purchases and applying FTA funds in the same amount to Richmond Ferry Service expansion in FY18.
15	BART's FY18 FG cap reduced by \$436,918 to \$49,774,082 due to failure to meet grand spend-down goals in FY17.
16	Caltrain's FY18 FG cap reduced by \$380,691 to \$14,012,309 due to failure to meet grand spend-down goals in FY17.
17	SFMTA's FY18 FG cap reduced by \$14,023,663 to \$20,002,337 due to failure to meet grand spend-down goals in FY17.
18	WETA is voluntarily deferring \$11,801,652 of FG caps during the 4-year programming period, to be restored after FY20.
19	In FY19, \$20.75M of SFMTA's \$25M voluntary deferred FG cap funding from FY15 and FY16 is being restored as part of the funding exchange for Central Subway discussed in Note 20.
20	In FY19, SFMTA, SFCTA, and MTC executed a funding swap to provide \$61.75 million in funding for SFMTA's Central Subway to make up for a delay in receipt of State Transportation Improvement Program (STIP) funds. The swap consists of \$20 million of funds from SFMTA, \$21 million from SFCTA, and \$20.75 million from MTC. MTC's share is reprogrammed from the FTA 5337 portion of the Debt Service Repayment project to Muni Rail Replacement, Wayside/Central Train Control & Trolley Signal Systems Rehab, Muni Metro East Facility - Boiler Replacement, L-Taraval Improvement Project - SGR Project Elements, Van Ness BRT - SGR Project Elements, and FG Facilities Condition Assessments Implementation Projects in exchange for local funds from those projects being reprogrammed to Central Subway. Future STIP funds will be repaid to the TCP Program to make up for this programming action.
21	\$13.2 million of FTA Section 5337 funds programmed to SFMTA's LRV replacement in FY19 are conditioned on resolution of mechanical issues with the replacement LRVs that came to light in April 2019. These funds will not be amended into the TIP until resolved.
22	In September 2019, ECCTA exercised the Cost Effective Bus Procurement element of the TCP Policy on their bus replacement projects, directing 50% of the \$512,543 of FY19 5339 funds to the Oakley Park & Ride Project. The balance of 5339 funds (\$256,271), in addition to \$989,240 of FY18 5339 funds programmed to a fare collection project is being reprogrammed to the same Oakley Park & Ride Project, consistent with the Capital Exchange element of the TCP Policy. ECCTA will repay the region in a future year (tent. FY23) by reducing the eligibility of a bus replacement project for TCP funds by the same amount (\$1,245,511).
23	In April 2020, programming for was SMART added, consistent with TCP Policy. Requests from operators in Santa Rosa UZA for FY20 funds are able to be fully programmed with available funding. An updated revenue sharing agreement is expected to be executed between Santa Rosa UZA operators for FTA Section 5307 funds apportioned to that UZA.



# APPENDIX A – 21

## *Regional Policies: Project Funding and Specific Funding Programs*

**AB 664 Net Bridge Toll Revenues  
Program of Projects for FY 2016-17 thru FY 2019-20  
MTC Resolution No. 4262**



Date: March 22, 2017  
W.I.: 1514  
Referred by: PAC  
Revised: 04/26/17-C 07/26/17-C  
12/20/17-C 06/27/18-C  
01/23/19-C 05/22/19-C  
03/25/20-C 07/22/20-C

ABSTRACT

Resolution No. 4262, Revised

This resolution establishes the AB 664 Net Bridge Toll Revenues program of projects for FY2016-17 through FY2019-20. The initial program consists of funds programmed to SFMTA and AC Transit towards their fleet replacement projects in FY2016-17 consistent with the Transit Capital Priorities Program, and reprogramming of FY2012-13 AB 664 funds for BART, SFMTA, and WETA that had lapsed due to unforeseen project delays. This resolution will be amended to add the remainder of FY2016-17 programming and attachments for FY2017-18 through FY2019-20 AB 664 program in conjunction with final revisions to the FY2016-17 through FY2019-20 Transit Capital Priorities program.

The following attachments are provided with this resolution:

- Attachment A – Program of AB 664 Net Bridge Toll Revenue Projects FY2016-17
- Attachment B – Program of AB 664 Net Bridge Toll Revenue Projects FY2017-18
- Attachment C – Program of AB 664 Net Bridge Toll Revenue Projects FY2018-19
- Attachment D – Program of AB 664 Net Bridge Toll Revenue Projects FY2019-20

Attachment A of this resolution was revised on April 26, 2017 to reprogram FY2012-13 AB 664 Bridge Toll funds for AC Transit that had lapsed due to unforeseen project delays.

Attachment A of this resolution was revised on July 26, 2017 to program the remainder of the FY2016-17 AB 664 Bridge Toll funds based on the final revisions to the FY2016-17 Transit Capital Priorities (TCP) program.

Attachments B through D of this resolution were revised on December 20, 2017 to program AB 664 Bridge Tolls funds to AC Transit, BART, and SFMTA in FY2017-18 through FY2019-20 consistent with the TCP program and commitments of the Core Capacity Challenge Grant

Program, and to reprogram FY2013-14 funds for AC Transit, SFMTA, and WestCAT that had lapsed due to unforeseen project delays.

Attachments A and B of this resolution were revised on June 27, 2018 to program the remainder of the FY2017-18 AB 664 Bridge Toll funds based on the final revisions to the FY2017-18 TCP program and make other minor revisions to the FY2016-17 program.

Attachment D of this resolution was revised on January 23, 2019 to add an additional eligible project in FY2019-20 for SFMTA to execute a fund swap for their Central Subway project.

Attachments C and D of this resolution were revised on May 22, 2019 to program the remainder of the FY2018-19 AB 664 Bridge Toll funds based on the final revisions to the FY2018-19 TCP program and to make other revisions to the FY2018-19 and FY2019-2020 program consistent with TCP policy and commitments of the Core Capacity Challenge Grant Program.

Attachment D of this resolution was revised on March 25, 2020 to program the remainder of the FY2019-20 AB 664 Net Bridge Toll Revenue funds based on the final revisions to the FY2019-20 TCP program.

Attachments A, B, C, and D of this resolution were revised on July 22, 2020 to revise AC Transit's FY2016-17 through FY2019-20 AB 664 Net Bridge Toll Revenue programming to match their updated fleet plan and to remove funding conditions on SFMTA programming related to financing.

Further discussion of the AB 664 program of projects is contained in the Programming and Allocations Committee summary sheets dated March 8, 2017, April 12, 2017, July 12, 2017, December 13, 2017, June 13, 2018, January 9, 2019, May 8, 2019, March 11, 2020, and July 8, 2020.

Date: March 22, 2017  
W.I.: 1514  
Referred by: PAC

RE: Programming of AB 664 Net Bridge Toll Revenues in FY 2016-17 through FY 2019-20

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4262

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq., and

WHEREAS, pursuant to Streets and Highways Code § 30892, after deduction for MTC's administrative costs, MTC shall allocate toll bridge net revenues to public entities operating public transportation systems to achieve MTC's capital planning objectives in the vicinity of toll bridges as set forth in its adopted Regional Transportation Plan (RTP) ("Net Revenues"); and


WHEREAS, pursuant to Streets and Highways Code § 30894, MTC has adopted MTC Resolution No. 4015, which sets forth MTC's Bridge Toll Revenue Allocation Policy; and

WHEREAS, MTC has adopted a transit capital priorities program which set forth the priorities for funding transit capital projects in the Transportation Improvement Program (TIP); and

WHEREAS, "claimants" certify that their respective projects programmed in the TIP are in conformance with MTC's Regional Transportation Plan, with the requirements of the California Environmental Quality Act (Public Resources Code § 2100 et seq.) and the State EIR Guidelines (14 Cal. Admin. Code § 15000 et seq.); now therefore, be it

RESOLVED, that MTC approves the FY2016-17 through FY2019-20 programming of AB 664 Net Bridge Toll Revenues to the claimants, in the amounts, for the purposes, and subject to the conditions listed on Attachments A-D to this resolution, attached hereto and incorporated herein as though set forth at length.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Jake Mackenzie, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in San Francisco, California on March 22, 2017.

Date: March 22, 2017

W.I.: 1514

Referred by: PAC

Revised: 04/26/17-C 07/26/17-C  
06/27/18-C 07/22/20-C

Attachment A  
Resolution No. 4262  
Page 1 of 3

**PROGRAM OF AB 664 NET BRIDGE TOLL REVENUE PROJECTS**

FY2016-17 Program				
			East Bay	West Bay
	<b>Revenue</b>		<b>3,184,460</b>	<b>22,700,000</b>
	<b>Previous Year Carry-Over (if any)</b>			
	<b>Expirations and Rescissions</b>		<b>6,774,769</b>	<b>1,792,280</b>
	<b>Total Funds Available</b>		<b>9,959,229</b>	<b>24,492,280</b>
<b>Sponsor</b>	<b>Eligible Capital Projects</b>	<b>Fund Source</b>		
<u>Current Year Programming</u>				
<u>AC Transit Non-Core Capacity Projects</u>				
AC Transit	CAD/AVL	§ 5307		
AC Transit	Radio communication system	§ 5307		
AC Transit	Paratransit Van Leasing	§ 5307		
AC Transit	(51) Diesel Particulate Filters for 30' Buses	§ 5307		
AC Transit	Replace (27) 2003 60' articulated buses	§ 5307		
	<i>Subtotal - Non-Core Capacity Projects (5)</i>		<b>1,177,611</b>	<b>-</b>
<u>AC Transit Core Capacity Projects</u>				
AC Transit	Purchase 35 40-ft Transit Buses	FY17 5307		
	<i>Subtotal - Core Capacity projects</i>		<b>1,584,460</b>	<b>-</b>
	<b>Total Amount Programmed to AC Transit (5)</b>		<b>2,762,071</b>	<b>-</b>
BART	ADA Paratransit Capital Accessibility Improvements	§ 5307		
BART	Strategic Maintenance Program	§ 5307/§ 5309 FG		
BART	General Mainline Renovation	§ 5307/§ 5309 FG		
BART	Train Control Renovation	§ 5309/37 FG		
BART	Traction Power	§ 5307/§ 5309/37 FG		
BART	Rail, Way and Structures Program	§ 5307/§ 5309/37 FG		
BART	Fare Collection Equipment	§ 5307/§ 5309/37 FG		
BART	Station Renovations	§ 5307/§ 5309 FG		
BART	L-intrusion Barrier	§ 5307/§ 5309 FG		
BART	Lake Merritt Subway	§ 5307/§ 5309 FG		
BART	Platform Edge Tile Replacement	§ 5307/§ 5309 FG		
	<b>Total Amount Programmed to BART(1)</b>		<b>3,717,116</b>	<b>-</b>
Caltrain	Systemwide Track Rehabilitation	§ 5337		
Caltrain	Communications System/Signal Rehabilitation	§ 5337		
	<b>Total Amount Programmed to Caltrain</b>		<b>-</b>	<b>594,437</b>
ECCTA	Transit Bus Replacements	§ 5307		
	<b>Total Amount Programmed to ECCTA</b>		<b>434,051</b>	<b>-</b>

Date: March 22, 2017

W.I.: 1514

Referred by: PAC

Revised: 04/26/17-C 07/26/17-C  
06/27/18-C 07/22/20-C

Attachment A  
Resolution No. 4262  
Page 2 of 3

**PROGRAM OF AB 664 NET BRIDGE TOLL REVENUE PROJECTS**

FY2016-17 Program				
SamTrans	Replacement of 2003 Gillig Buses	§ 5307		
	<b>Total Amount Programmed to SamTrans</b>		-	<b>105,563</b>
<u>SFMTA Non-Core Capacity Projects</u>				
SFMTA	45 40' NABI Replacement	§ 5307/§ 5339 FG		
SFMTA	35 22' Paratransit vans	§ 5307		
SFMTA	58 40' Neoplan Bus Replacement	§ 5307		
SFMTA	26 60' Neoplan Bus Replacement	§ 5307		
SFMTA	60 60' New Flyer Trolley Bus Replacement	§ 5307		
SFMTA	ITS Radio System Replacement	§ 5307/§ 5337		
SFMTA	Muni Rail Replacement	§ 5337		
SFMTA	Cable Car Renovation Program	§ 5337		
SFMTA	Accessible Light Rail Stops	§ 5309		
SFMTA	ATCS Inductive Loop Cable in the Muni Metro Subway	§ 5307		
SFMTA	Automatic Fare Collection Equip	§ 5307/§ 5309		
SFMTA	Central Control & Communication (C3)	§ 5307/§ 5309		
SFMTA	Enterprise Asset Management System	§ 5309		
SFMTA	Escalator Rehabilitation	§ 5307/§ 5309		
SFMTA	Historic Vehicle Renovation	§ 5307/§ 5309		
SFMTA	Misc. Security Expenditures	§ 5307		
SFMTA	Overhead Lines Rehab	§ 5309		
SFMTA	Replace 6 Paratransit Minivans	AB664		
SFMTA	Farebox Replacement	AB664		
SFMTA	Cable Car Infrastructure	AB664		
SFMTA	Rehabilitation of 16 Ex-SEPTA PCCs	§ 5307/§ 5309		
SFMTA	Wayside Fare Collection	AB664		
SFMTA	Station-Area Pedestrian and Bicycle Access Improvements	AB664		
SFMTA	Wayside/Central Train Control & Trolley Signal Systems Reh	AB664		
	<i>Subtotal - Non-Core Capacity Projects (2)</i>		-	<i>18,310,178</i>
<u>SFMTA Core Capacity Projects</u>				
SFMTA	Replacement of 60' Trolley Coaches	AB664		
	<i>Subtotal - Core Capacity projects</i>		-	<i>5,482,102</i>
	<b>Total Amount Programmed to SFMTA (2, 3)</b>		-	<b>23,792,280</b>

Date: March 22, 2017

W.I.: 1514

Referred by: PAC

Revised: 04/26/17-C 07/26/17-C  
06/27/18-C 07/22/20-C

Attachment A  
Resolution No. 4262  
Page 3 of 3

**PROGRAM OF AB 664 NET BRIDGE TOLL REVENUE PROJECTS**

FY2016-17 Program				
SolTrans	Technology Enhancements	§ 5307		
SolTrans	Facilities and Amenities Improvements	§ 5307		
SolTrans	Preventive Maintenance	§ 5307		
SolTrans	Bus Purchase (Alternative Fuel)	§ 5339		
<b>Total Amount Programmed to SolTrans</b>			<b>762,771</b>	<b>-</b>
Union City	Replace 6 2009 Paratransit Cut-away Vehicles	§ 5307		
Union City	Replace 1 2003 Paratransit Sedan	§ 5307		
<b>Total Amount Programmed to Union City</b>			<b>209,710</b>	<b>-</b>
WestCat	Replacement of 2 40' Revenue Vehicles	§ 5307		
WestCat	Purchase of 2 Fast Fare Electronic Fareboxes	§ 5307		
<b>Total Amount Programmed to WestCat</b>			<b>193,468</b>	<b>-</b>
WETA	Replacement Vessel	§ 5307		
WETA	Ferry Major Component Rehabilitation	§ 5307		
WETA	Ferry Propulsion System Replacement	§ 5307		
WETA	Ferry Fixed Guideway Connectors	§ 5307		
<b>Total Programmed to WETA (4)</b>			<b>1,880,042</b>	<b>-</b>
Fund Balance			-	-

**Notes:**

- 1 Includes BART reallocation of lapsed FY2012-13 funds \$3,717,116
- 2 Includes SFMTA reallocation of lapsed FY2012-13 funds \$1,792,280. "Station Area Pedestrian and Bike Access Improvements" project is eligible through a fund exchange, whereby SFMTA is using local funds for a TCP Scope 16 project, and TCP / AB 664 funds are being used for the (otherwise low-scoring) station area project.
- 3 These programming actions are conditioned on Commission approval and execution of final terms of financing, allowing for a total of \$69,443,401 of AB 664 funds to be reprogrammed from BART to SFMTA and replaced with proceeds of financing. Should financing not be completed, these funds would be reprogrammed back to BART, including \$18,213,416 in FY17.
- 4 Includes WETA reallocation of lapsed FY2012-13 funds \$1,880,042
- 5 Includes AC Transit reallocation of lapsed FY2012-13 funds \$1,177,611



Date: March 22, 2017

W.I.: 1514

Referred by: PAC

Revised: 12/20/17-C

06/27/18-C

07/22/20-C

Attachment B

Resolution No. 4262

Page 1 of 3

## PROGRAM OF AB 664 NET BRIDGE TOLL REVENUE PROJECTS

FY2017-18 Program			East Bay	West Bay
	Revenue		19,156,072	24,988,000
	Previous Year Carry-Over (if any)			
	Expirations and Rescissions		1,692,629	1,007,472
	Total Funds Available		20,848,701	25,995,472
<b>Sponsor</b>	<b>Eligible Capital Projects</b>	<b>Fund Source</b>		
<u>Current Year Programming</u>				
<i>AC Transit Non-Core Capacity Projects</i>				
AC Transit	CAD/AVL	§ 5307/§ 5337 FG		
AC Transit	Radio Communication System	§ 5307/§ 5309 FG		
AC Transit	Paratransit Van Leasing	§ 5307/§ 5309 FG		
AC Transit	(51) Diesel Particulate Filters for 30' Buses	§ 5309/37 FG		
AC Transit	Replace (28) 2000 40' Urban Buses	§ 5307/§ 5309/37 FG		
AC Transit	Replace (40) 2002 40' Urban Buses	§ 5307/§ 5309/37 FG		
AC Transit	Replace (27) 2003 60' Urban Buses	§ 5307/§ 5309/37 FG		
AC Transit	Fare Box Replacement	§ 5307/§ 5309/37 FG		
	<i>Subtotal - Non-Core Capacity Projects (1)</i>		1,648,072	-
<i>AC Transit Core Capacity Projects</i>				
AC Transit	Purchase (59) 40ft Urban Buses - Diesel	§ 5307		
AC Transit	Purchase 36 45-ft Over-the-Road Coaches	§ 5307		
	<i>Subtotal - Core Capacity projects</i>		4,999,473	-
	<b>Total Amount Programmed to AC Transit (1)</b>		<b>6,647,545</b>	-
BART	Railcar Procurement Program	§ 5307/§ 5337		
	<b>Total Amount Programmed to BART</b>		<b>12,556,599</b>	-
Caltrain	Systemwide Track Rehabilitation	§ 5307/§ 5337 FG		
Caltrain	Comm. System/Signal Rehab.	§ 5307/§ 5337 FG		
Caltrain	Revenue Vehicle Rehab	§ 5307/§ 5337 FG		
	<b>Total Amount Programmed to Caltrain</b>			<b>700,000</b>
CCCTA	Replace 42 22' Gasoline 7-Year Paratransit Vans	§ 5307/§ 5339 FG		
CCCTA	Replace 3 Gasoline 7-Year Paratransit Minivans	§ 5307/§ 5339 FG		
	<b>Total Amount Programmed to CCCTA</b>		<b>181,305</b>	
ECCTA	Clipper II Digital Communication Equipment	§ 5307/§ 5339 FG		
	<b>Total Amount Programmed to ECCTA</b>		<b>40,437</b>	
LAVTA	Hybrid Bus Battery Pack Replacement	§ 5307/§ 5339 FG		
	<b>Total Amount Programmed to LAVTA</b>		<b>25,759</b>	

Date: March 22, 2017

W.I.: 1514

Referred by: PAC

Revised: 12/20/17-C

06/27/18-C

07/22/20-C

Attachment B

Resolution No. 4262

Page 2 of 3

## PROGRAM OF AB 664 NET BRIDGE TOLL REVENUE PROJECTS

FY2017-18 Program			East Bay	West Bay
<u>SFMTA Non-Core Capacity Projects</u>				
SFMTA	45 40' NABI Replacement	§ 5307/§ 5339 FG		
SFMTA	35 22' Paratransit vans	§ 5307 FG		
SFMTA	58 40' Neoplan Bus Replacement	§ 5307 FG		
SFMTA	26 60' Neoplan Bus Replacement	§ 5307 FG		
SFMTA	60 60' New Flyer Trolley Bus Replacement	§ 5307 FG		
SFMTA	ITS Radio System Replacement	§ 5307/§ 5337 FG		
SFMTA	Muni Rail Replacement	§ 5337 FG		
SFMTA	Cable Car Renovation Program	§ 5337 FG		
SFMTA	Accessible Light Rail Stops	§ 5309 FG		
SFMTA	ATCS Inductive Loop Cable in the Muni Metro Subway	§ 5307 FG		
SFMTA	Automatic Fare Collection Equip	§ 5307/§ 5309 FG		
SFMTA	Central Control & Communication (C3)	§ 5307/§ 5309 FG		
SFMTA	Escalator Rehabilitation	§ 5307/§ 5309 FG		
SFMTA	Historic Vehicle Renovation	§ 5307/§ 5309 FG		
SFMTA	Misc. Security Expenditures	§ 5307 FG		
SFMTA	Overhead Lines Rehab	§ 5309 FG		
SFMTA	Rehabilitation of 16 Ex-SEPTA PCCs	§ 5307/§ 5309 FG		
SFMTA	Signal Rehab on 2nd Street	§ 5307 FG		
	<i>Subtotal - Non-Core Capacity Projects (3)</i>		-	855,722
<u>SFMTA Core Capacity Projects</u>				
SFMTA	Replacement of 40' Trolley Coaches	§ 5307/§ 5337		
SFMTA	Replacement of 60' Motor Coaches	§ 5307		
	<i>Subtotal - Core Capacity projects (2)</i>		-	24,288,000
	<b>Total Amount Programmed to SFMTA (2,3)</b>		-	<b>25,143,722</b>
SamTrans	Capital Maintenance-Fuel	§ 5307		
SamTrans	Advanced Communication System Upgrades	§ 5307		
SamTrans	Replacement of 19 2007 Cutaway Buses	§ 5307		
	<b>Total Amount Programmed to SamTrans (4)</b>		-	<b>151,750</b>
SolTrans	Bus Purchase (Alternative Fuel)	§ 5307/§ 5339 FG		
SolTrans	Preventive Maintenance	§ 5307/§ 5339 FG		
	<b>Total Amount Programmed to SolTrans</b>		<b>155,750</b>	
Westcat	Revenue Vehicle Replacement	§ 5307 FG		
Westcat	Service Vehicle Replacement	§ 5307 FG		
Westcat	Replacement of 2 35' suburban diesel transit buses	§ 5307 FG		
Westcat	Replacement of 2 35' suburban diesel transit buses	§ 5307 FG		
	<b>Total Amount Programmed to WestCAT (5)</b>		<b>44,557</b>	-

Date: March 22, 2017

W.I.: 1514

Referred by: PAC

Revised: 12/20/17-C

06/27/18-C

07/22/20-C

Attachment B

Resolution No. 4262

Page 3 of 3

**PROGRAM OF AB 664 NET BRIDGE TOLL REVENUE PROJECTS**

FY2017-18 Program			East Bay	West Bay
WETA	Ferry Vessel Replacements (Richmond Ferry Service)	§ 5307/§ 5337 FG		
WETA	Ferry Mid-Life Refurbishment - Solano, Taurus, Mare Island, & Inti	§ 5307/§ 5337 FG		
WETA	Ferry Channel Dredging	§ 5307/§ 5337 FG		
<b>Total Amount Programmed to WETA</b>			<b>1,196,749</b>	
Fund Balance			-	-

**Notes:**

1 Includes AC Transit reallocation of lapsed FY2013-14 funds \$1,648,072

2 These programming actions are conditioned on Commission approval and execution of final terms of financing, allowing for a total of \$69,443,401 of AB 664 funds to be reprogrammed from BART to SFMTA and replaced with proceeds of financing. Should financing not be completed, these funds would be reprogrammed back to BART, including \$22,557,820 in FY18.

3 Includes SFMTA reallocation of lapsed FY2013-14 funds \$855,722

4 Includes SamTrans reallocation of lapsed FY2013-14 funds \$151,750

5 Includes WestCAT reallocation of lapsed FY2013-14 funds \$44,557

**PROGRAM OF AB 664 NET BRIDGE TOLL REVENUE PROJECTS**

FY2018-19 Program			East Bay	West Bay
	<b>Revenue Projections</b>		<b>2,300,734</b>	<b>15,450,000</b>
	<b>Previous Year Carry-Over (if any)</b>			
	<b>Expirations and Rescissions</b>			
	<b>Total Funds Available</b>		<b>2,300,734</b>	<b>15,450,000</b>
<b>Sponsor</b>	<b>Eligible Capital Projects</b>	<b>Fund Source</b>		
<i>Current Year Programming</i>				
<i>AC Transit Core Capacity Projects</i>				
AC Transit	Replace 50 40-ft buses	§ 5307		
	<i>Subtotal - Core Capacity projects</i>		700,734	-
	<b>Total Amount Programmed to AC Transit</b>		<b>700,734</b>	<b>-</b>
Caltrain	Systemwide Track Rehabilitation	§ 5337 FG		
Caltrain	Comm. System/Signal Rehab.	§ 5337 FG		
Caltrain	Revenue Vehicle Rehab	§ 5337 FG		
	<b>Total Amount Programmed to Caltrain</b>		<b>-</b>	<b>671,517</b>
ECCTA	Transit Bus Replacement (Paratransit)	§ 5339		
	<b>Total Amount Programmed to ECCTA</b>		<b>36,086</b>	<b>-</b>
LAVTA	Hybrid Bus Battery Pack Replacement	§ 5307/§ 5339		
	<b>Total Amount Programmed to LAVTA</b>		<b>11,957</b>	<b>-</b>
SamTrans	Purchase of Replacement Minivans	§ 5307		
	<b>Total Amount Programmed to SamTrans</b>		<b>-</b>	<b>28,483</b>
<i>SFMTA Core Capacity Projects</i>				
SFMTA	Replace 35 Paratransit Cutaway Vans	§ 5307		
SFMTA	40' Motor Coach Mid-Life Overhaul	§ 5307		
	<i>Subtotal - Core Capacity projects</i>		-	14,750,000
	<b>Total Amount Programmed to SFMTA</b>		<b>-</b>	<b>14,750,000</b>
SolTrans	Preventive Maintenance	§ 5307/§ 5339		
SolTrans	Bus Purchase Alternative Fuel	§ 5307/§ 5339		
	<b>Total Amount Programmed to SolTrans</b>		<b>102,711</b>	<b>-</b>
Westcat	AVL & APC System Procurement & Installation	§ 5307		
Westcat	Replacement of (9) 40ft Revenue Vehicles	§ 5307		
Westcat	Purchase of (9) Fast Fare Electronic Fareboxes	§ 5307		
Westcat	Replace (2) Minivans	§ 5307		
Westcat	Purchase of (2) Radio systems for (2) Cut Away Vans	§ 5307		
	<b>Total Amount Programmed to WestCAT</b>		<b>320,875</b>	<b>-</b>
WETA	Ferry Major Component Rehabilitation	§ 5337 FG		
WETA	Ferry Vessel Replacement - Bay Breeze	§ 5337 FG		
	<b>Total Amount Programmed to WETA</b>		<b>1,128,371</b>	<b>-</b>
	<b>Fund Balance</b>		<b>-</b>	<b>-</b>

## PROGRAM OF AB 664 NET BRIDGE TOLL REVENUE PROJECTS

FY2019-20 Program			East Bay	West Bay
	Revenue Projections		1,988,240	16,455,174
	Previous Year Carry-Over (if any)			
	Expirations and Rescissions			
	<b>Total Funds Available</b>		<b>1,988,240</b>	<b>16,455,174</b>
<b>Sponsor</b>	<b>Eligible Capital Projects</b>	<b>Fund Source</b>		
Current Year Programming				
<i>AC Transit Core Capacity Projects</i>				
AC Transit	Preventive Maintenance	§ 5307/5339		
	<i>Subtotal - Core Capacity projects</i>		388,240	-
	<b>Total Amount Programmed to AC Transit</b>		<b>388,240</b>	<b>-</b>
Caltrain	Systemwide Track Rehabilitation	§ 5337 FG		
Caltrain	Comm. System/Signal Rehab.	§ 5337 FG		
Caltrain	TVM Rehab & Clipper Functionality	§ 5337 FG		
Caltrain	Revenue Vehicle Rehab	§ 5337 FG		
	<b>Total Amount Programmed to Caltrain</b>		<b>-</b>	<b>639,595</b>
SamTrans	Replacement of Cut-away Buses	§ 5307		
	<b>Total Amount Programmed to SamTrans</b>		<b>-</b>	<b>60,405</b>
SFMTA	Cable Car Vehicle Renovation Program	§ 5307/§ 5337		
SFMTA	Muni Rail Replacement	§ 5307/§ 5337		
SFMTA	Wayside/Central Train Control & Trolley Signal Systems Rehabilitation	§ 5307/§ 5337		
SFMTA	Potrero Facility Planning	§ 5307/§ 5337		
	<b>Total Amount Programmed to SFMTA (1)</b>		<b>-</b>	<b>15,755,174</b>
SolTrans	Preventive Maintenance	§ 5307/§ 5339		
SolTrans	Bus Purchase Alternative Fuel	§ 5307/§ 5339		
	<b>Total Amount Programmed to SolTrans</b>		<b>299,521</b>	<b>-</b>
Union City	Electric Bus Procurement	§ 5307		
	<b>Total Amount Programmed to Union City</b>		<b>343,242</b>	<b>-</b>
Westcat	Replacement of 6 40' Revenue Vehicles	§ 5307		
Westcat	Purchase of 6 Fast Fare Electronic Fareboxes	§ 5307		
	<b>Total Amount Programmed to WestCAT</b>		<b>218,797</b>	<b>-</b>
WETA	Ferry Fixed Guideway Connectors	§ 5337 FG		
WETA	Ferry Major Component Rehabilitation	§ 5337 FG		
	<b>Total Amount Programmed to WETA</b>		<b>738,440</b>	<b>-</b>
		Fund Balance	-	-

**Notes:**

- 1 Resolution 4123 programs AB664 bridge tolls to SFMTA for fleet replacement projects as part of the Core Capacity Challenge Grant Program. Because fleet replacements were funded in earlier years from FTA formula funds due to project timing, bridge tolls in FY20 are programmed to other Score 16 SFMTA projects.

# APPENDIX A – 22

## *Regional Policies: Project Funding and Specific Funding Programs*

**BATA Project Savings Program of Projects  
and Allocation of Funds  
MTC Resolution No. 4169**



Date: January 28, 2015  
W.I.: 1511  
Referred by: PAC  
Revised: 09/23/15-C 01/27/16-C  
12/21/16-C 03/22/17-C  
12/20/17-C 06/27/18-C  
01/23/19-C 05/22/19-C  
09/25/19-C

ABSTRACT

Resolution No. 4169, Revised

This resolution establishes the program of projects for BATA Project Savings and allocates these funds to eligible projects.

The following attachment is provided with this resolution:

Attachment A – Program of Projects

Attachment B – Allocations

This resolution was revised on September 23, 2015 to update the conditions associated with the programming of \$84 million of BATA project savings to SFMTA's Light Rail Vehicle purchase (LRV) project, in order to reflect the updated amount of AB 664 funds programmed to the project.

This resolution was revised on January 27, 2016 to program and allocate \$24,922,916 in BATA Project Savings towards AC Transit's Fleet Replacement consistent with the Core Capacity Challenge Grant Program funding plan.

This resolution was revised on December 21, 2016 to de-program \$23,014,657 in BATA Project Savings funds from SFMTA's LRV project due to receipt of TIRCP funding of the same amount in FY2015-16 and update the conditions associated with the programming to reflect the updated amount of AB 664 and BATA Project Savings funds programmed to the project.

This resolution was revised on March 22, 2017 to program and allocate \$5,248,522 in BATA Project Savings funds to AC Transit and program \$23,040,236 and allocate \$4,649,495 in BATA Project Savings funds to SFMTA towards their Fleet Replacement projects.

ABSTRACT

MTC Resolution No. 4169, Revised

Page 2

This resolution was revised on December 20, 2017 program and allocate \$20,167,986 in BATA Project Savings funds to AC Transit and program \$83,921,695 and allocate \$8,091,805 in BATA Project Savings funds to SFMTA toward their Fleet Replacement projects.

This resolution was revised on June 27, 2018 to allocate \$37,270,041 in BATA Project Savings funds to SFMTA toward their Fleet Replacement projects, consistent with the commitments of the Core Capacity Challenge Grant Program, and de-program \$26,867,000 in BATA Project Savings funds from SFMTA's LRV project due to receipt of TIRCP funding of the same amount in FY2017-18 and update the conditions associated with the programming to reflect the updated amount of BATA Project Savings funds programmed to the project.

This resolution was revised on January 23, 2019 to update the programming conditions on SFMTA's LRV Expansion programming from FY2014-15, program an additional \$24,999,671 and allocate \$59,118,014 to SFMTA's LRV Expansion, and program \$5 million for SFMTA projects to execute a funding exchange for their Central Subway project.

This resolution was revised on May 22, 2019 to deprogram \$5 million and remove a project from SFMTA's programming to reflect changes made in the Transit Capital Priorities Program.

This resolution was revised on September 25, 2019 to allocate \$45,729,959 in BATA Project Savings funds to SFMTA toward their Fleet Replacement projects, consistent with the commitments of the Core Capacity Challenge Grant Program, and remove a funding condition related to financing.

Further discussion of this action is contained in the MTC Programming and Allocations Committee summary sheet dated January 14, 2015, September 9, 2015, January 13, 2016, December 14, 2016, March 8, 2017, December 13, 2017, June 13, 2018, January 9, 2019, May 8, 2019, and September 4, 2019.



Date: January 28, 2015  
W.I.: 1511  
Referred by: PAC

RE: Programming and allocation of BATA Project Savings

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4169

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 *et seq.*; and

WHEREAS, Streets and Highways Code Sections 30950 *et seq.* created the Bay Area Toll Authority (“BATA”) which is a public instrumentality governed by the same board as that governing MTC; and

WHEREAS, pursuant to Streets and Highways Code (SHC) Section 31010(b), funds generated in excess of those needed to meet the toll commitments as specified by paragraph (4) of subdivision (b) of Section 188.5 of the SHC shall be available to BATA for funding projects consistent with SHC Sections 30913 and 30914; and

WHEREAS, the BATA Project Savings are bridge toll funds made available from project and financing savings on BATA’s Regional Measure 1 and Toll Bridge Seismic Retrofit programs; and

WHEREAS, MTC adopted Resolution No. 4123, Revised, which established an investment plan for MTC’s Transit Core Capacity Challenge Grant Program that targets federal, state, and regional funds to high-priority transit capital projects between FY2014-15 and FY2029-30, and as part of this investment plan, BATA Project Savings were assigned to certain projects; and

WHEREAS, BATA staff has determined that the Transit Core Capacity Challenge Grant Program is a bridge improvement project that improves the operations of the state-owned toll bridges; and

WHEREAS, BATA has adopted BATA Resolution No. 111, Revised, to amend the BATA budget to include the Transit Core Capacity Challenge Grant Program; and


WHEREAS, BATA has adopted BATA Resolution No. 72, Revised, to amend the BATA Long Range Plan to include the Transit Core Capacity Challenge Grant Program; now, therefore, be it

RESOLVED, that MTC approves the program of projects for BATA Project Savings, for the purposes, and subject to the conditions listed on Attachment A to this resolution, attached hereto and incorporated herein as though set forth at length; and, be it further

RESOLVED, that MTC approves the allocation and reimbursement of BATA Project Savings in accordance with the amount, conditions and reimbursement schedule for the phase, and activities as set forth in Attachment B; and, be it further

RESOLVED, that should the allocation of BATA Project Savings be conditioned on the execution of a funding agreement, that the Executive Director or his designee is authorized to negotiate and enter into a funding agreement with claimant that includes the provisions contained in Attachment A and B.

METROPOLITAN TRANSPORTATION COMMISSION



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Amy Rein Worth, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on January 28, 2015.

Date: January 28, 2015  
W.I.: 1511  
Referred by: PAC  
Revised: 09/23/15-C 01/27/16-C  
12/21/16-C 03/22/17-C  
12/20/17-C 06/27/18-C  
01/23/19-C 05/22/19-C  
09/25/19-C

Attachment A  
Resolution No. 4169  
Page 1 of 2

PROGRAM OF BATA PROJECT SAVINGS FUND PROJECTS

**FY2014-15 Program of Projects**

Operator	Project	Amount	Conditions
SFMTA	Fleet Expansion - LRV Purchase	34,118,343	This programming counts toward MTC share of replacment LRVs.
<b>Total FY2014-15 Programming:</b>		<b>34,118,343</b>	

**FY2015-16 Program of Projects**

Operator	Project	Amount	Conditions
AC Transit	AC Transit Projects		
	Replace 29 40-ft Artic Urban buses		
	Purchase 10 40-ft urban buses - Zero-Emission Fuel Cell		
	Purchase 10 double-decker diesel buses		
	<i>Total AC Transit Programming</i>	24,922,916	
<b>Total FY2015-16 Programming:</b>		<b>24,922,916</b>	

**FY2016-17 Program of Projects**

Operator	Project	Amount	Conditions
AC Transit	AC Transit Projects		
	Purchase 19 60-ft Artic Urban buses		
	<i>Total AC Transit Programming</i>	5,248,522	
SFMTA	SFMTA Projects		
	Replacement of 60' Trolley Coaches		
	<i>Total SFMTA Programming</i>	12,967,639	
<b>Total FY2016-17 Programming:</b>		<b>18,216,161</b>	

**FY2017-18 Program of Projects**

Operator	Project	Amount	Conditions
AC Transit	AC Transit Projects		
	Purchase (59) 40-ft Urban Buses - Diesel		
	<i>Total AC Transit Programming</i>	16,560,759	
SFMTA	SFMTA Projects		This programming action is conditioned on Commission approval and execution of final terms of financing, allowing for approximately \$46 million of BATA project savings to be reprogrammed from BART to SFMTA and replaced with proceeds of financing. Should financing not be completed, \$46 million would be reprogrammed back to BART.
	Replacement of 40-ft Trolley Coaches		
	Replacement of 60-ft Motor Coaches		
	Replacement of 30-ft Motor Coaches		
	<i>Total SFMTA Programming</i>	79,638,569	
<b>Total FY2017-18 Programming:</b>		<b>96,199,328</b>	

Date: January 28, 2015  
W.I.: 1511  
Referred by: PAC  
Revised: 09/23/15-C 01/27/16-C  
12/21/16-C 03/22/17-C  
12/20/17-C 06/27/18-C  
01/23/19-C 05/22/19-C  
09/25/19-C

Attachment A  
Resolution No. 4169  
Page 2 of 2

PROGRAM OF BATA PROJECT SAVINGS FUND PROJECTS

**FY2018-19 Program of Projects**

Operator	Project	Amount	Conditions
AC Transit Projects			
	Replace (24) 60-ft Urban Buses - Hybrid		
	<i>Total AC Transit Programming</i>	2,321,181	
SFMTA Projects			
	Fleet Expansion - LRV Purchase		Note: \$24,999,671 programmed in January 2019. Programming counts toward MTC share of replacement LRVs.
	40-ft Motor Coach Midlife Overhaul		
	Replace 35 Paratransit Cutaway Vans		
	<i>Total SFMTA Programming</i>	27,452,111	
<b>Total FY2018-19 Programming:</b>		<b>29,773,292</b>	

**FY2019-20 Program of Projects**

Operator	Project	Amount	Conditions
AC Transit Projects			
	Replace (27) 40-ft Urban Buses - Hybrid		
	<i>Total AC Transit Programming</i>	1,286,046	
SFMTA Projects			
	Muni Rail Replacment		
	40-ft Motor Coach Midlife Overhaul		
	<i>Total SFMTA Programming</i>	1,830,686	
<b>Total FY2019-20 Programming:</b>		<b>3,116,732</b>	

Date: January 28, 2015  
W.I.: 1511  
Referred by: PAC  
Revised: 01/27/16-C  
03/22/17-C  
12/20/17-C  
06/27/18-C  
01/23/19-C  
09/25/19-C

Attachment B  
Resolution No. 4169  
Page 1 of 1

ALLOCATIONS TO BATA PROJECT SAVINGS FUNDED PROJECTS

Operator	Project	Date	Amount	Allocation No.	Notes
AC Transit	Projects Listed on Attachment A	1/27/2016	24,922,916	16-4169-01	See Notes below
AC Transit	Projects Listed on Attachment A	3/22/2017	5,248,522	17-4169-01	See Notes below
SFMTA	Projects Listed on Attachment A	3/22/2017	4,649,495	17-4169-02	See Notes below
AC Transit	Projects Listed on Attachment A	12/20/2017	16,560,759	18-4169-01	See Notes below
SFMTA	Projects Listed on Attachment A	12/20/2017	4,956,713	18-4169-02	See Notes below
SFMTA	Projects Listed on Attachment A	6/27/2018	37,270,041	18-4169-03	See Notes below
SFMTA	Projects Listed on Attachment A	1/23/2019	59,118,014	19-4169-01	See Notes below
SFMTA	Projects Listed on Attachment A	9/25/2019	45,729,959	20-4169-01	See Notes below
<b>Total Allocations:</b>			<b>198,456,419</b>		

Notes:

- 1 Acceptance of allocations requires operator agreement to comply with the provisions of the AB 664 Net Bridge Toll Revenues section of MTC Resolution No. 4015 and that any BATA Project Savings funds received shall be subject to MTC Resolution No. 4015, unless otherwise agreed to herein.

# APPENDIX A – 23

## *Regional Policies: Project Funding and Specific Funding Programs*

**FTA Enhanced Mobility for Seniors and Individuals with  
Disabilities Project Lists (Section 5310)  
for FY 2017-18 thru FY 2018-19  
MTC Resolution No. 4392**



Date: October 23, 2019  
W.I.: 1310  
Referred by: PAC

ABSTRACT  
Resolution No. 4392

This resolution adopts the Federal Transit Administration Section 5310 Enhanced Mobility for Seniors and Individuals with Disabilities FY 2017-18 and FY 2018-19 Project Lists for the Small Urbanized/Rural Areas and the Large Urbanized Areas of the San Francisco Bay Area.

The following attachments are provided with this resolution:

Attachment A – Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program MTC’s FY 2017-18 and FY 2018-19 Application and Evaluation Process for the Large Urbanized Areas and the Small Urbanized/Rural Areas of the San Francisco Bay Area;

Attachment B – Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program FY 2017-18 and FY 2018-19 Project List for the Small Urbanized/Rural Areas of the San Francisco Bay Area; and

Attachment C – Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area.

Further discussion of this action is contained in the Programming and Allocations Committee Summary sheet dated October 9, 2019.

Date: October 23, 2019  
W.I.: 1310  
Referred by: PAC

Re: Federal Transit Administration Section 5310 Enhanced Mobility for Seniors and Individuals with Disabilities FY 2017-18 and FY 2018-19 Project Lists for the Small Urbanized/Rural Areas and the Large Urbanized Areas of the San Francisco Bay Area

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4392

WHEREAS, Title 49 United States Code (U.S.C.) Section 5310 (49 U.S.C. 5310) authorizes and sets forth the provisions for the Enhanced Mobility of Seniors and Individuals with Disabilities Program, which makes capital and operating grants to recipients for public transportation projects planned, designed, and carried out to meet the special needs of seniors and individuals with disabilities when public transportation is insufficient, inappropriate, or unavailable; public transportation projects that exceed the requirements of the Americans with Disabilities Act (ADA) of 1990 (42 U.S.C. 12101 et seq.); public transportation projects that improve access to fixed-route service and decrease reliance on complementary paratransit; and alternatives to public transportation projects that assist seniors and individuals with disabilities; and

WHEREAS, 49 U.S.C. §5310 apportions funds by formula to Large Urbanized Areas, Small Urbanized Areas, and Rural Areas; and

WHEREAS, pursuant to California Government Code Section 66500 et seq., the Metropolitan Transportation Commission (“MTC”) is the regional transportation planning agency for the San Francisco Bay Area; and

WHEREAS, the California Transportation Commission (CTC) must consider all project applications received for the Small Urbanized/Rural Areas of the state prior to submittal to the Federal Transit Administration (FTA) for funding approval; and

WHEREAS, Caltrans is the designated recipient of the FY 2017-18 and FY 2018-19 Section 5310 funds for the Large Urbanized Areas of the San Francisco Bay Area region, and the state’s Small Urbanized Areas, and Rural Areas; and



WHEREAS, MTC is responsible for certifying that each project was included in the locally developed, coordinated public transit-human services transportation plan; and certifying that the plan was developed through a process that included representatives of public, private, and non-profit transportation and human services providers and participation by the public; and

WHEREAS, MTC, as the Regional Transportation Planning Agency, is responsible for objectively reviewing all project applications for eligibility, and scoring vehicle and equipment projects; these recommendations are to be considered by Caltrans and the CTC in its preparation of the San Francisco Bay Area's Large Urbanized Areas program of projects, and the statewide Small Urbanized/Rural areas program of projects; now, therefore, be it

RESOLVED, that MTC has followed the FY 2017-18 and FY 2018-19 Application and Evaluation Process for the Large Urbanized Areas and the Small Urbanized/Rural Areas of the San Francisco Bay Area set forth in Attachment A, attached hereto and incorporated herein as though set forth in full; and, be it further

RESOLVED, that MTC adopts the Federal Transit Administration Section 5310 Enhanced Mobility for Seniors and Individuals with Disabilities Program FY 2017-18 and FY 2018-19 Project Lists for the Small Urbanized/Rural Areas and the Large Urbanized Areas of the San Francisco Bay Area, as provided in Attachment B and Attachment C; and be it further

RESOLVED, that the Executive Director of MTC or her designee shall transmit the adopted Federal Transit Administration Section 5310 Enhanced Mobility for Seniors and Individuals with Disabilities FY 2017-18 and FY 2018-19 Project Lists for the Large Urbanized Areas and the Small Urbanized/Rural Areas of the San Francisco Bay Area to Caltrans to be submitted to FTA for consideration under the Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program; and, be it further

RESOLVED, that the Executive Director is authorized to make changes to Attachment B and C to conform to sponsor requests and Caltrans and California Transportation Commission actions; and, be it further

RESOLVED, that the Executive Director is authorized to accept Federal Transit Administration Section 5310 Enhanced Mobility for Seniors and Individuals with Disabilities

funds on behalf of MTC for Coordinated Public Transit-Human Services Transportation Plan implementation activities; and, be it further

RESOLVED, that a copy of this resolution shall also be transmitted to each county Paratransit Coordinating Council and to other organizations as shall be appropriate; and, be it further

RESOLVED, that MTC will amend its Transportation Improvement Program (TIP) when appropriate to incorporate those projects approved at the state level.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Scott Haggerty, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in San Francisco, California, on October 23, 2019.

Date: October 23, 2019  
W.I.: 1310  
Referred by: PAC

Attachment A  
MTC Resolution No. 4392  
Page 1 of 1

**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
MTC's FY 2017-18 and FY 2018-19 Application and Evaluation Process for the Large  
Urbanized Areas and the Small Urbanized/Rural Areas of the San Francisco Bay Area**

1. MTC notified prospective applicants of the statewide Call for Projects. Outreach activities included: 1) emails to prospective applicants, the nine county Paratransit Coordinating Councils, and the nine county transportation authorities; 2) announcements to the Partnership Accessibility Committee, the Transit Finance Working Group, and the Regional Mobility Management Group.
2. MTC staff reviewed each application to determine that the proposed project was included in MTC's Coordinated Public Transit—Human Services Transportation Plan. Staff developed a Coordinated Plan Certification Lead Agency List, which will be submitted to Caltrans.
3. MTC staff compiled information from all applications and developed two applications lists:
  - Attachment B, Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program FY 2017-18 and FY 2018-19 Project List for the Small Urbanized/Rural Areas of the San Francisco Bay Area, and
  - Attachment C, Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area.
4. Each eligible Traditional 5310 vehicle and equipment project application will be scored using the Caltrans developed scoring criteria, which has been approved by the California Transportation Commission (CTC).
5. If approved by the Commission, MTC staff will transmit the Coordinated Plan Certification Lead Agency List and the application lists to Caltrans. Caltrans will score and consider each application for funding.

**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Small Urbanized/Rural Areas of the San Francisco Bay Area**

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
1	Becoming Independent	Small/Rural	Sonoma	Replacement Vehicle	Medium bus	\$76,700
2	Becoming Independent	Small/Rural	Sonoma	Replacement Vehicle	Medium bus	\$76,700
3	Becoming Independent	Small/Rural	Sonoma	Replacement Vehicle	Small bus	\$71,200
4	Becoming Independent	Small/Rural	Sonoma	Replacement Vehicle	Small bus	\$71,200
5	Becoming Independent	Small/Rural	Sonoma	Replacement Vehicle	Small bus	\$71,200
6	City of Petaluma	Small/Rural	Sonoma	Mobility Management	Petaluma Transit Travel Training	\$96,840
7	City of Rio Vista	Small/Rural	Solano	Operating	Dial-A-Ride and deviated fixed-route services	\$400,000
8	County of Sonoma, Human Services Department, Adult and Aging Division	Small/Rural	Sonoma	Mobility Management	Rural Intercity Feeder Shuttle Expansion	\$142,200
9	County of Sonoma, Human Services Department, Adult and Aging Division	Small/Rural	Sonoma	Operating	Rural Intercity Feeder Shuttle Expansion Project	\$160,000
10	Faith in Action	Small/Rural	Solano	Operating	Faith in Action Volunteer Driver Program	\$469,115
11	Milestones of Development INC	Small/Rural	Solano	Replacement Vehicle	Small bus	\$71,200
12	Milestones of Development INC	Small/Rural	Solano	Replacement Vehicle	Small bus	\$71,200
13	Milestones of Development INC	Small/Rural	Solano	Replacement Vehicle	Small bus	\$71,200
14	Milestones of Development INC	Small/Rural	Solano	Replacement Vehicle	Minivan	\$56,000
15	Milestones of Development INC	Small/Rural	Solano	Service Expansion Vehicle	Minivan	\$56,000
16	Milestones of Development INC	Small/Rural	Solano	Service Expansion Vehicle	Minivan	\$56,000

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
17	Milestones of Development INC	Small/Rural	Solano	Equipment	Two (2) Computers	\$1,400
18	Milestones of Development INC	Small/Rural	Solano	Equipment	Forty (40) Wheelchair tie downs	\$16,200
19	Napa Valley Transportation Authority	Small/Rural	Napa	Replacement Vehicle	Medium bus	\$76,700
20	Napa Valley Transportation Authority	Small/Rural	Napa	Replacement Vehicle	Medium bus	\$76,700
21	Napa Valley Transportation Authority	Small/Rural	Napa	Replacement Vehicle	Medium bus	\$76,700
22	Napa Valley Transportation Authority	Small/Rural	Napa	Replacement Vehicle	Medium bus	\$76,700
23	Napa Valley Transportation Authority	Small/Rural	Napa	Replacement Vehicle	Medium bus	\$76,700
24	Outreach and Escort, Inc.	Small/Rural	Santa Clara	Mobility Management	MM for South Rural Santa Clara County	\$220,308
25	Outreach and Escort, Inc.	Small/Rural	Santa Clara	Operating	Above and Beyond through Coordination for South Rural Santa Clara County	\$179,692
26	Pace Solano	Small/Rural	Solano	Replacement Vehicle	Small bus	\$71,200
27	Solano Transportation Authority	Small/Rural	Solano	Mobility Management	Solano Mobility Management	\$400,000
					Total	\$3,289,055

**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area**

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
1	Ability Now Bay Area, Inc.	Concord, SFO	Alameda, Contra Costa	Service Expansion Vehicle	Small bus	\$71,200
2	Ability Now Bay Area, Inc.	Concord, SFO	Alameda, Contra Costa	Service Expansion Vehicle	Small bus	\$71,200
3	Alameda-Contra Costa Transit District (AC Transit)	Antioch, Concord, SFO, San Jose, Santa Rosa	Alameda, Contra Costa, Marin, San Francisco, San Mateo, Santa Clara, Sonoma	Mobility Management	Regional Paratransit Program	\$368,092
4	Alegria Community Living	Concord, SFO	Alameda, Contra Costa	Replacement Vehicle	Small bus	\$71,200
5	Alegria Community Living	Concord, SFO	Alameda, Contra Costa	Replacement Vehicle	Small bus	\$71,200
6	Alegria Community Living	Concord, SFO	Alameda, Contra Costa	Replacement Vehicle	Small bus	\$71,200
7	Alegria Community Living	Concord, SFO	Alameda, Contra Costa	Replacement Vehicle	Small bus	\$71,200
8	Alegria Community Living	Concord, SFO	Alameda, Contra Costa	Replacement Vehicle	Small bus	\$71,200
9	Avenidas	San Jose	Santa Clara	Operating	Avenidas Door to Door Rides	\$441,475
10	Bay Area Outreach & Recreation Program, Inc	SFO	Alameda	Replacement Vehicle	Large bus	\$81,200

**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area**

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
11	Casa Allegra Community Services	SFO	Marin	Replacement Vehicle	Minivan	\$56,000
12	Casa Allegra Community Services	SFO	Marin	Replacement Vehicle	Minivan	\$56,000
13	Casa Allegra Community Services	SFO	Marin	Replacement Vehicle	Minivan	\$56,000
14	Center for Elders' Independence	SFO	Alameda, Contra Costa	Equipment	Eight (8) mobile radios	\$7,000
15	Center for Elders' Independence	SFO	Alameda, Contra Costa	Replacement Vehicle	Medium bus	\$76,700
16	Center for Elders' Independence	SFO	Alameda, Contra Costa	Replacement Vehicle	Medium bus	\$76,700
17	Center for Elders' Independence	SFO	Alameda, Contra Costa	Replacement Vehicle	Medium bus	\$76,700
18	Center for Elders' Independence	SFO	Alameda, Contra Costa	Replacement Vehicle	Medium bus	\$76,700
19	Center for Elders' Independence	SFO	Alameda, Contra Costa	Replacement Vehicle	Medium bus	\$76,700
20	Center for Elders' Independence	SFO	Alameda, Contra Costa	Service Expansion Vehicle	Medium bus	\$76,700
21	Center for Elders' Independence	SFO	Alameda, Contra Costa	Service Expansion Vehicle	Medium bus	\$76,700

**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area**

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
22	Center for Elders' Independence	SFO	Alameda, Contra Costa	Service Expansion Vehicle	Medium bus	\$76,700
23	Choice in Aging	Antioch and Concord	Contra Costa	Operating	CiA Transportation (MDC/Beford) and Escort Program	\$255,836
24	Choice in Aging	Antioch	Contra Costa	Service Expansion Vehicle	Small bus	\$71,200
25	City of Lafayette	Concord	Contra Costa	Operating	Lamorinda Sprit Van Program	\$321,558
26	City of Santa Rosa	Santa Rosa	Sonoma	Replacement Vehicle	Small bus	\$71,200
27	City of Santa Rosa	Santa Rosa	Sonoma	Replacement Vehicle	Small bus	\$71,200
28	City of Santa Rosa	Santa Rosa	Sonoma	Replacement Vehicle	Small bus	\$71,200
29	City of Santa Rosa	Santa Rosa	Sonoma	Replacement Vehicle	Small bus	\$71,200
30	City of Santa Rosa	Santa Rosa	Sonoma	Replacement Vehicle	Small bus	\$71,200
31	City of Santa Rosa	Santa Rosa	Sonoma	Replacement Vehicle	Small bus	\$71,200



**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area**

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
32	City of Santa Rosa	Santa Rosa	Sonoma	Replacement Vehicle	Large bus	\$81,200
33	Contra Costa ARC	Antioch, Concord	Contra Costa	Service Expansion Vehicle	Minivan	\$56,000
34	Contra Costa ARC	Antioch, Concord	Contra Costa	Service Expansion Vehicle	Minivan	\$56,000
35	Contra Costa ARC	Antioch, Concord	Contra Costa	Service Expansion Vehicle	Minivan	\$56,000
36	Contra Costa ARC	Antioch, Concord	Contra Costa	Service Expansion Vehicle	Minivan	\$56,000
37	Contra Costa Transportation Authority (CCTA)	Antioch, Concord, SFO	Contra Costa	Mobility Management	Contra Costa Transit Travel Training	\$399,157
38	County of Sonoma, Human Services Department, Adult and Aging Division	Santa Rosa	Sonoma	Mobility Management	Sonoma Access Information & Referral Outreach Expansion	\$251,720
39	County of Sonoma, Human Services Department, Adult and Aging Division	Santa Rosa	Sonoma	Operating	Volunteer Driver Program Expansion	\$420,000
40	County of Sonoma, Human Services Department, Adult and Aging Division	Santa Rosa	Sonoma	Equipment	Two (2) Computer software	\$8,800
41	Drivers for Survivors, Inc	SFO	Alameda	Operating	Drivers For Survivors Volunteer Driver Program	\$430,600

Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
42	Eastern Contra Costa County Transit Agency (Tri Delta Transit)	Antioch	Contra Costa	Operating	Mobility On Demand	\$616,791
43	Eden I&R	SFO	Alameda County	Mobility Management	Expanded Mobility Management in Alameda County	\$351,249
44	Friends of Children with Special Needs	San Jose	Santa Clara	Operating	Service Expansion in San Jose Large Urbanized Area	\$576,313
45	Friends of Children with Special Needs	SFO	Alameda	Operating	Service Expansion in Fremont (SF-Oak Large Urbanized Area)	\$552,618
46	Friends of Children with Special Needs	San Jose	Santa Clara	Service Expansion Vehicle	Minivan	\$56,000
47	Friends of Children with Special Needs	San Jose	Santa Clara	Service Expansion Vehicle	Minivan	\$56,000
48	Friends of Children with Special Needs	SFO	Alameda	Service Expansion Vehicle	Minivan	\$56,000
49	Friends of Children with Special Needs	SFO	Alameda	Service Expansion Vehicle	Minivan	\$56,000
50	Friends of Children with Special Needs	SFO, San Jose	Alameda, Santa Clara	Equipment	Four (4) Dispatch Systems	\$564

**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area**

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
51	Friends of Children with Special Needs	SFO, San Jose	Alameda, Santa Clara	Equipment	Four (4) Dash Camera Systems	\$1,744
52	Friends of Children with Special Needs	SFO, San Jose	Alameda, Santa Clara	Equipment	Four (4) Routing & Dispatch Software	\$4,091
53	Friends of Children with Special Needs	SFO, San Jose	Alameda, Santa Clara	Equipment	Four (4) Safety Alert Software	\$5,454
54	Futures Explored, Inc.	Antioch, Concord	Contra Costa	Service Expansion Vehicle	Small bus	\$71,200
55	Futures Explored, Inc.	Antioch, Concord	Contra Costa	Service Expansion Vehicle	Small bus	\$71,200
56	Golden Rain Foundation of Walnut Creek	Concord	Contra Costa	Service Expansion Vehicle	Medium bus	\$76,700
57	Golden Rain Foundation of Walnut Creek	Concord	Contra Costa	Replacement Vehicle	Large bus	\$81,200
58	Golden Rain Foundation of Walnut Creek	Concord	Contra Costa	Replacement Vehicle	Large bus	\$81,200
59	Golden Rain Foundation of Walnut Creek	Concord	Contra Costa	Replacement Vehicle	Large bus	\$81,200
60	Institute on Aging	SFO	San Francisco	Replacement Vehicle	Medium bus	\$76,700
61	Institute on Aging	SFO	San Francisco	Replacement Vehicle	Medium bus	\$76,700

**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area**

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
62	Institute on Aging	SFO	San Francisco	Replacement Vehicle	Medium bus	\$76,700
63	Institute on Aging	SFO	San Francisco	Replacement Vehicle	Medium bus	\$76,700
64	Kimochi, Inc.	SFO	San Francisco	Replacement Vehicle	Large bus	\$81,200
65	Kimochi, Inc.	SFO	San Francisco	Replacement Vehicle	Large bus	\$81,200
66	Kimochi, Inc.	SFO	San Francisco	Replacement Vehicle	Large bus	\$81,200
67	Lighthouse for the Blind and Visually Impaired	SFO	Alameda, Contra Costa, Marin, San Francisco, San Mateo, Santa Clara	Mobility Management	Bay Area Blind Travel Training	\$592,205
68	Lighthouse for the Blind and Visually Impaired	Antioch, Concord, SFO, San Jose	Alameda, Contra Costa, San Francisco, San Mateo, Santa Clara	Equipment	Twenty (20) tactile BART Station maps	\$55,496
69	Marin County Transit District	SFO	Marin	Mobility Management	Marin Access Mobility Management Staff	\$162,800
70	Marin Senior Coordinating Council, Inc	SFO	Marin	Operating	Carepool Volunteer Driver Program	\$267,384
71	Marin Senior Coordinating Council, Inc	SFO	Marin	Replacement Vehicle	Medium bus	\$76,700

Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
72	Marin Senior Coordinating Council, Inc	SFO	Marin	Replacement Vehicle	Medium bus	\$76,700
73	Marin Senior Coordinating Council, Inc	SFO	Marin	Replacement Vehicle	Medium bus	\$76,700
74	Marin Senior Coordinating Council, Inc	SFO	Marin	Replacement Vehicle	Large bus	\$81,200
75	Marin Senior Coordinating Council, Inc	SFO	Marin	Replacement Vehicle	Large bus	\$81,200
76	Marin Senior Coordinating Council, Inc	SFO	Marin	Replacement Vehicle	Large bus	\$81,200
77	Marin Senior Coordinating Council, Inc	SFO	Marin	Service Expansion Vehicle	Large bus	\$81,200
78	Marin Senior Coordinating Council, Inc	SFO	Marin	Service Expansion Vehicle	Large bus	\$81,200
79	Marin Senior Coordinating Council, Inc	SFO	Marin	Service Expansion Vehicle	Large bus	\$81,200
80	Marin Senior Coordinating Council, Inc	SFO	Marin	Service Expansion Vehicle	Large bus	\$81,200
81	Marin Senior Coordinating Council, Inc	Santa Rosa	Sonoma	Service Expansion Vehicle	Large bus	\$81,200
82	Marin Senior Coordinating Council, Inc	Santa Rosa	Sonoma	Service Expansion Vehicle	Large bus	\$81,200

**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area**

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
83	Marin Senior Coordinating Council, Inc	Santa Rosa	Sonoma	Service Expansion Vehicle	Large bus	\$81,200
84	Marin Senior Coordinating Council, Inc	Santa Rosa	Sonoma	Service Expansion Vehicle	Large bus	\$81,200
85	Marin Senior Coordinating Council, Inc	Santa Rosa	Sonoma	Service Expansion Vehicle	Large bus	\$81,200
86	Marin Senior Coordinating Council, Inc	Santa Rosa	Sonoma	Service Expansion Vehicle	Large bus	\$81,200
87	Marin Senior Coordinating Council, Inc	Santa Rosa	Sonoma	Service Expansion Vehicle	Large bus	\$81,200
88	Marin Senior Coordinating Council, Inc	Santa Rosa	Sonoma	Service Expansion Vehicle	Large bus	\$81,200
89	Metropolitan Transportation Commission	Antioch, Concord, SFO, San Jose, Santa Rosa	Alameda, Contra Costa, Marin, San Francisco, San Mateo, Santa Clara, Sonoma	Mobility Management	Bay Area Mobility Management/Coordination Implementation	\$247,568
90	Mobility Matters	Concord	Contra Costa	Mobility Management	Matching Riders to Transportation Providers	\$244,052
91	Mobility Matters	Concord	Contra Costa	Operating	Volunteer Driver Programs for Seniors and Disabled Veterans	\$157,826

**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area**

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
92	Mobility Matters	Antioch	Contra Costa	Mobility Management	Matching Riders to Transportation Providers	\$102,896
93	Mobility Matters	Antioch	Contra Costa	Operating	Volunteer Driver Programs for Seniors and Disabled Veterans	\$144,852
94	Mobility Matters	SFO	Contra Costa	Mobility Management	Matching Riders to Transportation Providers	\$87,004
95	Mobility Matters	SFO	Contra Costa	Operating	Volunteer Driver Programs for Seniors and Disabled Veterans	\$66,970
96	On Lok Senior Health Services	SFO	Alameda, San Francisco	Replacement Vehicle	Minivan	\$56,000
97	On Lok Senior Health Services	SFO	Alameda, San Francisco	Replacement Vehicle	Small bus	\$71,200
98	On Lok Senior Health Services	SFO	Alameda, San Francisco	Replacement Vehicle	Small bus	\$71,200
99	On Lok Senior Health Services	SFO	Alameda, San Francisco	Replacement Vehicle	Small bus	\$71,200
100	On Lok Senior Health Services	SFO	Alameda, San Francisco	Replacement Vehicle	Small bus	\$71,200
101	On Lok Senior Health Services	SFO	Alameda, San Francisco	Replacement Vehicle	Small bus	\$71,200

Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
102	On Lok Senior Health Services	SFO	Alameda, San Francisco	Replacement Vehicle	Small bus	\$71,200
103	On Lok Senior Health Services	SFO	Alameda, San Francisco	Replacement Vehicle	Small bus	\$71,200
104	On Lok Senior Health Services	San Jose	Santa Clara	Replacement Vehicle	Small bus	\$71,200
105	On Lok Senior Health Services	San Jose	Santa Clara	Replacement Vehicle	Small bus	\$71,200
106	On Lok Senior Health Services	San Jose	Santa Clara	Replacement Vehicle	Small bus	\$71,200
107	On Lok Senior Health Services	San Jose	Santa Clara	Replacement Vehicle	Small bus	\$71,200
108	On Lok Senior Health Services	San Jose	Santa Clara	Replacement Vehicle	Small bus	\$71,200
109	On Lok Senior Health Services	San Jose	Santa Clara	Replacement Vehicle	Small bus	\$71,200
110	On Lok Senior Health Services	San Jose	Santa Clara	Replacement Vehicle	Small bus	\$71,200
111	On Lok Senior Health Services	San Jose	Santa Clara	Replacement Vehicle	Small bus	\$71,200
112	On Lok Senior Health Services	San Jose	Santa Clara	Service Expansion Vehicle	Small bus	\$71,200



Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
113	On Lok Senior Health Services	San Jose	Santa Clara	Service Expansion Vehicle	Small bus	\$71,200
114	On Lok Senior Health Services	San Jose	Santa Clara	Service Expansion Vehicle	Small bus	\$71,200
115	On Lok Senior Health Services	San Jose	Santa Clara	Service Expansion Vehicle	Small bus	\$71,200
116	On Lok Senior Health Services	San Jose	Santa Clara	Service Expansion Vehicle	Small bus	\$71,200
117	On Lok Senior Health Services	San Jose	Santa Clara	Service Expansion Vehicle	Small bus	\$71,200
118	Outreach and Escort, Inc.	San Jose	Santa Clara	Mobility Management	Mobility Management for San Jose UZA	\$971,088
119	Outreach and Escort, Inc.	San Jose	Santa Clara	Operating	Above and Beyond through Coordination for San Jose UZA	\$967,540
120	Peninsula Family Service	SFO	San Mateo	Operating	Got Wheels Transportation Program	\$631,637
121	Peninsula Jewish Community Center	SFO	San Mateo	Operating	PJCC's Get Up & Go Program	\$312,000
122	Pomeroy Recreation & Rehabilitation Center	SFO	San Francisco, San Mateo	Replacement Vehicle	Small bus	\$71,200

Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
123	San Francisco Municipal Transportation Agency	SFO	San Francisco	Operating	Expanding Paratransit Plus and CHOICE programs	\$1,239,785
124	San Francisco Municipal Transportation Agency	SFO	San Francisco	Mobility Management	Mobility Management Center	\$1,090,596
125	Satellite Affordable Housing Associates (SAHA)	SFO	Alameda, Contra Costa	Operating	SAHA Transportation Program - Enhancement of Services	\$104,200
126	Satellite Affordable Housing Associates (SAHA)	SFO	Alameda, Contra Costa	Service Expansion Vehicle	Small bus	\$71,200
127	Satellite Affordable Housing Associates (SAHA)	SFO	Alameda, Contra Costa	Service Expansion Vehicle	Small bus	\$71,200
128	Satellite Affordable Housing Associates (SAHA)	SFO	Alameda, Contra Costa	Replacement Vehicle	Medium bus	\$76,700
129	Satellite Affordable Housing Associates (SAHA)	SFO	Alameda, Contra Costa	Service Expansion Vehicle	Medium bus	\$76,700
130	Self-Help for the Elderly	SFO	San Francisco	Service Expansion Vehicle	Small bus	\$71,200
131	Self-Help for the Elderly	SFO	San Francisco	Replacement Vehicle	Medium bus	\$76,700
132	Self-Help for the Elderly	SFO	San Francisco	Replacement Vehicle	Large bus	\$81,200

**Section 5310 Enhanced Mobility of Seniors and Individuals with Disabilities Program  
 FY 2017-18 and FY 2018-19 Project List for the Large Urbanized Areas of the San Francisco Bay Area**

#	Applicant	UZA	County	Project Type	Project Name	Federal Amount Requested
133	Self-Help for the Elderly	SFO	San Francisco	Replacement Vehicle	Large bus	\$81,200
134	Self-Help for the Elderly	SFO	San Francisco	Equipment	Three (3) mobile radios	\$2,998
135	The Center for Independent Living (TheCIL)	SFO	Alameda	Mobility Management	Community Connections Online Tutorials/Resources Project	\$400,000
136	The Respite Inn	SFO	Alameda, Contra Costa	Service Expansion Vehicle	Minivan	\$56,000
137	West Valley Community Services	San Jose	Santa Clara	Operating	Reach Your Destination Easily (RYDE)	\$2,273,873
					<b>Total</b>	<b>\$22,270,332</b>

# APPENDIX A – 24

## *Regional Policies: Project Funding and Specific Funding Programs*

**FTA Nonurbanized Area Formula (Section 5311)  
Program Funding Objectives and Criteria  
for the San Francisco Bay Area  
MTC Resolution No. 4036**



Date: November 16, 2011  
W.I.: 1512  
Referred By: PAC  
Revised: 10/23/13-C

ABSTRACT

Resolution No. 4036, Revised

This resolution adopts the Federal Transit Administration (FTA) Section 5311 Nonurbanized Area Formula Program Funding Objectives and Criteria for the San Francisco Bay Area.

The resolution includes the following attachment:

Attachment A - FTA Section 5311 Nonurbanized Area Formula Program Funding  
Objectives and Criteria for the San Francisco Bay Area

This resolution was revised on October 23, 2013 to update the Section 5311 formula with new population data from the 2010 Census and new transit route data from the 2012 Regional Transit Database (RTD), and to remove provisions related to the two-year transition period policy, which is no longer applicable now that the first two years of the formula-based policy are complete.

Further discussion of this action is contained in the MTC Programming and Allocations Committee Summary sheets dated November 9, 2011 and October 9, 2013.

Date: November 16, 2011  
W.I.: 1512  
Referred By: PAC

Re: Federal Transit Administration (FTA) Section 5311 Nonurbanized Area Formula Program Funding Objectives and Criteria for the San Francisco Bay Area

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4036

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code sections 66500 et. seq.; and

WHEREAS, MTC is the designated metropolitan planning organization (MPO) for the nine-county San Francisco Bay Area; and

WHEREAS, the U.S. Department of Transportation (DOT) has adopted rules and regulations (23 CFR 450 and CFR 613) which require that the MPO, in cooperation with the state and publicly-owned operators of mass transportation services, carry on a continuing, cooperative and comprehensive transportation planning process that results in plans and programs consistent with the comprehensively planned development of the urbanized area, as a condition to the receipt of federal capital or operating assistance; and

WHEREAS, Section 5311 Title 49 of the United States Code (formerly Section 18 of the Federal Transit Act (FTA) provides a formula grant program for public transportation projects in areas other than urbanized areas (49 U.S.C. Section 5311); and

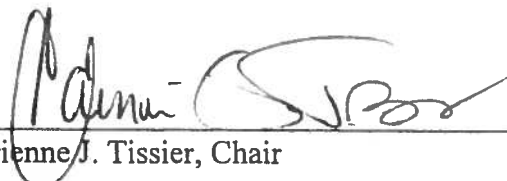
WHEREAS, MTC has developed, in consultation with interested transportation providers, the FTA Section 5311 Nonurbanized Area Formula Program Funding Objectives and Criteria for the San Francisco Bay Area, attached hereto as Attachment A, and incorporated herein as though set forth at length; now, therefore, be it

RESOLVED, that MTC adopts the FTA Section 5311 Nonurbanized Area Formula Program Funding Objectives and Criteria for the San Francisco Bay Area as provided in Attachment A; and be it further

RESOLVED, that MTC will use these funding objectives and criteria to program MTC's regional apportionment of FTA Section 5311 Nonurbanized Area Formula Program funds; and be it further

RESOLVED, that the Executive Director of MTC shall forward a copy of this Resolution, and such other information as may be required, to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Adrienne J. Tissier, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on November 16, 2011.

Date: November 16, 2011  
W.I.: 1512  
Referred By: PAC  
Revised: 10/23/13-C

Attachment A  
Resolution No. 4036  
Page 1 of 5

**FTA Section 5311 Nonurbanized Area Formula Program  
Funding Objectives and Criteria  
for the San Francisco Bay Area  
Metropolitan Transportation Commission**

**I. Funding Principles for the Section 5311 Program**

The funding principles are intended to guide our funding decisions and establish the basis for developing the programming process. The funding principles for the Section 5311 program are as follows:

1. *Maintain existing needed transit services:* MTC dedicates capital and operating funds for essential projects and programs in an effort to maintain needed existing transit services.
2. *Provide a reliable, equitable and flexible program:* MTC will use a formula distribution system in an effort to provide a reliable and equitable level of funding to transit operators each year. Policy guidelines will accompany the formula in order to give operators flexibility in selecting projects that are consistent with regional priorities.
3. *Fund basic capital requirements:* MTC will require recipients to prioritize the replacement of capital equipment. If recipients request funds for operations, they will be required to submit documentation explaining why the funds are not needed for basic capital.
4. *Maintain a multi-year program of projects:* In order to foster planning it is important that MTC continue to program projects on a multi-year basis, within the constraints of available federal funding programs and subject to changes within those programs. Whenever possible, MTC will adopt a two-year program, with annual adjustments to constrain the program to the available revenues. Each year's program will only be added to the TIP when actual revenues are apportioned by Caltrans.
5. *Maintain Timely Use of Funds Policy:* The Caltrans policy requires that all FTA Section 5311 funds be obligated within two years of programming or the funds will be lost to the region. In order to avoid lost funds to the region, MTC reserves the right to only program funds to those agencies that have submitted their prior year's 5311 application and quarterly reports to Caltrans satisfactorily and in a timely manner.



## II. Funding Formula, Policy Guidelines and Screening Criteria

### A. Funding Formula

Funds will be distributed to transit operators according to each operator's nonurbanized area population and nonurbanized area route miles. The formula will distribute half of the funds according to the nonurbanized area population served (i.e., according to the number of nonurbanized area residents that live within three-quarters of a mile of the operators' transit stops) and the other half of the funds according to the number of route miles provided in the nonurbanized area. The table below shows the formula distribution. Population data for the proposed formula is based on the 2010 Census, and transit route data is taken from the 2012 Regional Transit Database (RTD).

Transit Operator	Non UA Population (2010) within 3/4-mile of transit stops		Non UA Route Miles <sup>2</sup>		Combined Population and Route Miles Percentage
	Population	Percentage	Miles	Percentage	
AC Transit	8,272	4%	33	2%	3%
CCCTA	11,311	5%	8	0%	3%
LAVTA	6,845	3%	29	2%	2%
Marin Transit <sup>1</sup>	16,993	8%	283	17%	12%
NCTPA	26,713	12%	199	12%	12%
SamTrans	21,741	10%	130	8%	9%
Santa Clara VTA	8,061	4%	94	6%	5%
Solano Transportation Authority <sup>2</sup>	41,935	19%	437	26%	23%
Sonoma County Transit	63,645	29%	435	26%	28%
TriDelta Transit	13,298	6%	29	2%	4%
<b>Total</b>	<b>218,814</b>	<b>100%</b>	<b>1,678</b>	<b>100%</b>	<b>100%</b>

<sup>1</sup> The Marin Transit amount is the sum of the Marin Transit (Local Service) and West Marin Stagecoach amounts. Marin Transit will determine which service will use the 5311 funds.

<sup>2</sup> The Solano Transportation Authority (STA) amount is the sum of the Dixon, Fairfield and Suisun Transit, Rio Vista Delta Breeze, SolTrans, and Vacaville amounts. STA will work with these operators to determine individual shares.

### B. Policy Guidelines

The following policies will accompany the formula system:

1. *Capital Priority.* Recipients will be required to prioritize the replacement of capital equipment, with top priority for capital assets needed to maintain needed existing transit services. If recipients request funds for operations, they will be required to submit documentation explaining why the funds are not needed to maintain or replace capital equipment. Furthermore, if recipients request funds for operations expansions, they will be required to submit documentation explaining why the funds are not needed to maintain existing transit operations.

2. *Project Justification Sheets.* MTC will program funds only to those operators who submit Section 5311 project justification sheets during the Call for Projects. The Section 5311 project justification sheets will contain basic project information, including project title, brief project description, project type, contact information, total project cost, local match amount and funding source, prior programming information (if the project is already included in the TIP), screening criteria, and, for operations requests, an explanation of why the funds are not needed for basic capital. If an operator does not want to participate in the 5311 program (e.g., if the operator's 5311 share is so small that the administrative effort required to apply for and report on the funds outweighs the benefits to the operator), then they will not submit Section 5311 project justification sheets, and MTC will not program any funds to that operator.

### C. Project Screening Criteria

The project screening criteria are intended to eliminate projects that do not meet minimum program standards. MTC will review each applicant's Project Justification Sheets to ensure that each project proposed for the Section 5311 program of projects meets the following criteria:

1. *Availability to the general public.* Section 5311- funded services may be designed to maximize use by members of the general public who are transportation disadvantaged persons, including elderly and disabled persons, however such services should be open to the general public, or part of an array of public transit services, such as ADA complementary services.
2. *Identified local match.* The applicant must identify a funding source for the minimum required local match. The minimum local match is 44.67% for operations projects, and 11.47% for capital projects.
3. *Identified and documented need for a project.* The need for a particular project must be adequately documented and justified on the Section 5311 project justification sheets (e.g., if an operator is requesting funds to replace a vehicle, the existing vehicle to be replaced must meet the asset replacement age). If the applicant prepares a Short Range Transit Plan (SRTP), the project should be identified and justified in the plan.
4. *Project readiness.* The applicant must be prepared to submit an application for the project and be ready to implement/construct the project in the year indicated in the program of projects. If funds for a project are not applied for in the year they are programmed, future programming of federal funds for that project and applicant could be jeopardized.

5. *Consistency with Regional Transportation Plan (RTP)*. The applicant must confirm that the project is consistent with the region's Long Range Plan in effect at the time of the application.

### **III. Fund Programming and Project Review Process**

The steps in developing the region's Section 5311 program of projects are outlined as follows.

MTC will issue a Call for Projects every two years, and will adopt a two-year program. MTC will make annual adjustments to constrain the program to the available revenues. Each year's program will only be added to the TIP when actual revenues are apportioned by Caltrans.

#### **A. Call for Projects Year (first year of two-year program)**

- MTC receives estimate of available Section 5311 funding for the first program year from Caltrans. MTC will estimate the amount of Section 5311 funding available for the second program year.
- MTC uses the funding formula to estimate the amount of Section 5311 funds available to each transit operator, based on the assumption that all eligible operators will submit proposed projects.
- MTC notifies all potential Section 5311 applicants of the amount of Section 5311 funds available, including fund estimates by transit operator, and requests that projects be proposed (in project justification sheets) for the program of projects.
- For each proposed project, applicants complete and submit Section 5311 Project Justification Sheets to MTC.
- MTC staff reviews proposed projects and develops a preliminary program of projects. If there are remaining Section 5311 funds (i.e., if some eligible operators did not submit Project Justification Sheets), MTC will use the funding formula to distribute the remaining balance to the operators that proposed projects. MTC will confer with applicants to finalize the program of projects.
- The program of projects is presented to and considered by MTC's Programming and Allocations Committee.
- If approved by the Committee, the program of projects is presented to and considered by MTC's full Commission and upon approval is forwarded to Caltrans.
- When actual revenues are apportioned by Caltrans, MTC will make adjustments (if needed) to constrain the program to the available revenues and add the first year projects to the Transportation Improvement Program (TIP)

**B. Adjustment year (second year of two-year program)**

- MTC receives estimate of available Section 5311 funding for the second program year from Caltrans.
- MTC will make adjustments (if needed) to constrain the program to the available revenues. Staff will confer with operators if adjustments are needed.
- If there are changes to a project in the current program (e.g., scope of project, costs, etc.), a revised project justification sheet should be completed and sent to MTC.
- The revised program of projects is presented to and considered by MTC's Programming and Allocations Committee.
- The revised program of projects is presented to and considered by MTC's full Commission and upon approval is forwarded to Caltrans.
- MTC will add the second year projects to the Transportation Improvement Program (TIP).

In any year, operators are responsible for submitting their own applications to Caltrans. MTC will assist with the Regional Agency/Transportation Planning Agency (TPA) Certifications and Assurances as needed.

# APPENDIX A – 25

## *Regional Policies: Project Funding and Specific Funding Programs*

**FTA Nonurbanized Area Formula (Section 5311)  
Program of Projects for FY 2018-19 and FY 2019-20  
MTC Resolution No. 4353**



Date: July 25, 2018  
W.I.: 1512  
Referred By: PAC  
Revised: 01/22/20-ED

ABSTRACT

Resolution No. 4353, Revised

This resolution adopts the FY2018-19 and FY2019-20 Federal Transit Administration (FTA) Rural Area Formula (Section 5311) Programs of Projects for the San Francisco Bay Area.

The resolution includes the following attachment:

Attachment A - FTA Section 5311 Rural Area Formula Program for FY2018-19

Attachment B - FTA Section 5311 Rural Area Formula Program for FY2019-20

Attachment B of this resolution was revised by Executive Director Administration Action on January 22, 2020 to reconcile the FY2019-20 program with final apportionments as provided by Caltrans and delete one project.

Further discussion of this action is contained in the MTC Programming and Allocations Committee Summary Sheet dated July 11, 2018.

Date: July 25, 2018  
W.I.: 1512  
Referred By: PAC

Re: Program of Projects in the San Francisco Bay Area for the FY2018-19 and FY2019-20 Federal Transit Administration (FTA) Rural Area Formula (Section 5311) Funds

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4353

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code sections 66500 et. seq.; and

WHEREAS, MTC is the designated metropolitan planning organization (MPO) for the nine-county San Francisco Bay Area; and

WHEREAS, the U.S. Department of Transportation (DOT) has adopted rules and regulations (23 CFR 450 and CFR 613) which require that the MPO, in cooperation with the state and publicly-owned operators of mass transportation services, carry on a continuing, cooperative and comprehensive transportation planning process that results in plans and programs consistent with the comprehensively planned development of the urbanized area, as a condition to the receipt of federal capital or operating assistance; and

WHEREAS, Section 5311 Title 49 of the United States Code (formerly Section 18 of the Federal Transit Act) provides for a Federal Transit Administration (FTA) formula grant program for public transportation projects in rural areas (49 U.S.C. Section 5311); and

WHEREAS, MTC has adopted Resolution No. 4036, which sets forth MTC's FTA Section 5311 Rural Area Formula Program Funding Objectives and Criteria for the San Francisco Bay Area; and

WHEREAS, MTC has developed, in consultation with interested transportation providers and in accordance with the MTC's Section 5311 Funding Objectives and Criteria, FY2018-19 and FY 2019-20 FTA Rural Area Formula (Section 5311) Programs of Projects for the San Francisco Bay Area, attached hereto as Attachments A, and B, respectively, and incorporated herein as though set forth at length; now, therefore, be it

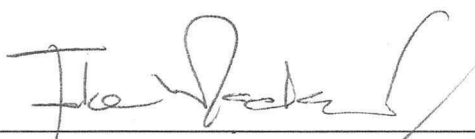
RESOLVED, that MTC adopts the FY2018-19 FTA Rural Area Formula (Section 5311) Program of Projects as listed on Attachment A; and, be it further

RESOLVED, that MTC adopts the FY2019-20 FTA Rural Area Formula (Section 5311) Program of Projects as listed on Attachment B; and, be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to modify the FY2018-19 and FY2019-20 Program of Projects as listed on Attachments A and B to match the actual FTA Rural Area Formula fund appropriation if needed; and, be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to forward a copy of this resolution to Caltrans, and such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION  
COMMISSION

  
\_\_\_\_\_  
Jake Mackenzie, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in San Francisco, California, on July 25, 2018.



**Federal Transit Administration**  
**Section 5311 Rural Area Formula Program**  
**FY2018-19**

**FY2018-19 Funding Available:**

<b>Estimated Apportionments</b>	\$	<b>1,626,236</b>
<b>Prior Year Carryover:</b>	\$	<b>-</b>
<b>Total Funding Available:</b>	\$	<b>1,626,236</b>

**FY 2018-19 Programming:**

<u>Applicant</u>	<u>Project Description</u>	<u>Sect. 5311</u> <u>Program</u>	<u>Local</u> <u>Match</u>	<u>Total</u> <u>Project Cost</u>
County Connection	Operating Assistance (Rural Contra Costa County)	\$ 52,524	\$ 42,405	\$ 94,929
Marin Transit	Operating Assistance (West Marin Stagecoach)	\$ 215,087	\$ 173,648	\$ 388,735
NVTA	Operating Assistance (Northern Napa Co.)	\$ 214,413	\$ 173,104	\$ 387,517
SamTrans	Operating Assistance (Coastside, Rt. 17)	\$ 158,411	\$ 127,891	\$ 286,302
VTA	Operating Assistance (Rt. 68)	\$ 81,816	\$ 66,053	\$ 147,869
Rio Vista Delta Breeze	Operating Assistance	\$ 135,000	\$ 108,991	\$ 243,991
Rio Vista Delta Breeze	Transit Vehicle Replacement	\$ 75,000	\$ 9,717	\$ 84,717
City of Dixon	Operating Assistance (Readi-Ride)	\$ 203,235	\$ 164,079	\$ 367,314
Sonoma County Transit	Transit Vehicle Replacement	\$ 490,750	\$ 63,582	\$ 554,332
<b>Total Programming</b>		\$ 1,626,236	\$ 929,469	\$ 2,555,705
<b>Total Available</b>		\$ 1,626,236		
<b>Available for Carryover</b>		\$ -		

**Federal Transit Administration**  
**Section 5311 Rural Area Formula Program**  
**FY2019-20**

**FY2019-20 Funding Available:**

<b>Apportionments:</b>	<b>\$ 1,718,541</b>
<b>Prior Year Carryover:</b>	<b>\$ -</b>
<b>Total Funding Available:</b>	<b>\$ 1,718,541</b>

**FY 2019-20 Programming:**

<u>Applicant</u>	<u>Project Description</u>	<u>Sect. 5311 Program</u>	<u>Local Match</u>	<u>Total Project Cost</u>
County Connection	Operating Assistance (Rural Contra Costa County)	\$ 53,741	\$ 43,387	\$ 97,129
Marin Transit	Operating Assistance (West Marin Stagecoach)	\$ 231,638	\$ 187,010	\$ 418,648
NVTA	Operating Assistance (Northern Napa Co.)	\$ 233,844	\$ 188,791	\$ 422,635
SamTrans	Operating Assistance (Coastside, Rt. 17)	\$ 173,369	\$ 139,967	\$ 313,336
VTA	Operating Assistance (Rt. 68)	\$ 88,590	\$ 71,522	\$ 160,112
City of Dixon	Solano Express Bus Stop (Transit Capital)	\$ 50,000	\$ 6,478	\$ 56,478
City of Dixon	Operating Assistance (Readi-Ride)	\$ 255,123	\$ 205,970	\$ 461,093
Rio Vista Delta Breeze	Operating Assistance	\$ 150,000	\$ 121,101	\$ 271,101
Sonoma County Transit	Transit Vehicle Replacement	\$ 535,977	\$ 69,442	\$ 605,419
<b>Total Programming</b>		<b>\$ 1,718,541</b>	<b>\$ 990,281</b>	<b>\$ 2,708,822</b>
<b>Total Available</b>		<b>\$ 1,718,541</b>		
<b>Available for Carryover</b>		<b>\$ -</b>		

# APPENDIX A – 26

## *Regional Policies: Project Funding and Specific Funding Programs*

**FTA Urbanized Area Formula (Section 5307) and  
Rural Area Formula (Section 5311) Process, Criteria, and  
Program of Projects for Funds Pursuant to CARES Act  
for FY 2019-20 Emergency Transit Operations**

**MTC Resolution No. 4420**



Date: April 22, 2020  
W.I.: 1512  
Referred By: Commission  
Revised: 05/27/20-C  
07/22/20-C

ABSTRACT

Resolution No. 4420, Revised

This resolution approves the process, establishes the criteria, and programs projects for Federal Transit Administration (FTA) Sections 5307 Urbanized Area Formula and 5311 Rural Area formula funds apportioned to the San Francisco Bay Area pursuant to the Coronavirus Aid, Relief, and Economic Security Act (H.R. 748) for FY2019-20 Emergency Transit Operations Assistance.

This resolution includes the following attachments:

Attachment A – Principles for Distribution of CARES Act (H.R. 748) Supplemental  
Federal Transit Administration Formula Funds

Attachment B – FY2019-20 Emergency Transit Operations Programming Policy

Attachment C – FY2019-20 Emergency Transit Operations Program of Projects

On May 27, 2020, Attachment A was revised to incorporate proposed actions for Principle 5.

Attachments B and C were revised on July 22, 2020 to update the Policy and Programming for the Phase 2 distribution of CARES Act Emergency Transit Operations funding.

Further discussion is contained in the memoranda to the MTC Programming and Allocations Committee dated May 13, 2020 and July 8, 2020.

Date: April 22, 2020  
W.I.: 1512  
Referred By: Commission

RE: San Francisco Bay Area FY2019-20 Emergency Transit Operations Programming Policy

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4420

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Sections 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county Bay Area; and

WHEREAS, the Coronavirus Aid, Relief, and Economic Security (CARES) Act (H.R. 748) has been signed into law in response to the nationwide Coronavirus pandemic, which provides supplemental appropriations for Emergency Transit Operations Assistance through the Federal Transit Administration (FTA) Section 5307 Urbanized Area and Section 5311 Rural Area formula programs; and

WHEREAS, MTC is the designated recipient of the FTA Section 5307 Urbanized Area Formula Program funds for the large urbanized areas of San Francisco-Oakland, San Jose, Concord, Antioch, and Santa Rosa, and has been authorized by the California Department of Transportation (Caltrans) to select projects and recommend funding allocations subject to state approval for the FTA Section 5307 funds for the small urbanized areas of Vallejo, Fairfield, Vacaville, Napa, Livermore, Gilroy-Morgan Hill, and Petaluma in MTC's Federal Transportation Improvement Program and for the Section 5311 funds in non-urbanized areas; and

WHEREAS, MTC has worked cooperatively with the cities, counties and transit operators in the region to establish a set of principles to guide the development of the process and methodology for the initial distribution of CARES Act supplemental federal transit funds; and which provide for adjustments for subsequent distributions, as set forth in Attachment A, which is incorporated herein as though set forth at length; and

WHEREAS, the Policy to be used for the distribution of funds is set forth in Attachment B, which is incorporated herein as though set forth at length; and

WHEREAS, the projects to be funded are set forth in the detailed project listings in Attachment C, which are incorporated herein as though set forth at length; now, therefore, be it

RESOLVED, that MTC approves FY2019-20 Emergency Transit Operations Programming Policy as set forth in Attachment B; and, be it further

RESOLVED, that MTC will use the Policy as set forth in Attachment B to program supplemental FTA Sections 5307 and 5311 formula funds appropriated in the CARES Act for Emergency Transit Operations Assistance as provided under statute; and, be it further

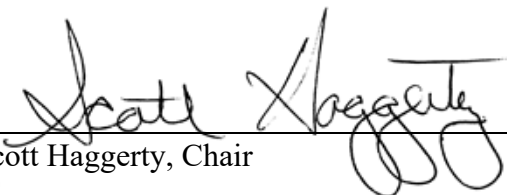
RESOLVED, that MTC will return to the Commission to consider and approve those criteria and factors that will be identified for and associated with Principle 5 as provided for in Attachment A, as a basis for subsequent distributions beyond the initial distribution; and, be it further

RESOLVED, that MTC adopts the FY2019-20 Emergency Transit Operations Program of Projects to be funded as set forth in Attachment C; and, be it further

RESOLVED, that the Executive Director of MTC, or their designee, is authorized and directed to modify the Program of Projects as listed in Attachment C to meet requirements of FTA, and be it further

RESOLVED, that the Executive Director of MTC, or their designee, is authorized and directed to forward a copy of this resolution to the Federal Transit Administration (FTA) or other such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Scott Haggerty, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in San Francisco, California on April 22, 2020.

Date: April 22, 2020  
W.I: 1512  
Referred By: Commission  
Revised: 05/27/20-C

Attachment A  
Resolution No. 4420  
Page 1 of 2

**Principles for Distribution of CARES Act (H.R. 748) Supplemental  
Federal Transit Administration Formula Funds**

<b>Principles</b>	<b>Proposed Action</b>
1. Move quickly to distribute first allocation of funds to operators as soon as possible.	Recommend an allocation formula and distribution of an initial installment of funds for approval no later than at the regularly-scheduled MTC Commission meeting on April 22 <sup>nd</sup> .
2. Distribute funding in a manner that best addresses operators’ needs arising from the COVID-19 crisis.	Pursue agreement with transit operators on a distribution framework that comes as close as possible to anticipated transit operator costs associated with COVID-19, consistent with the intent of the CARES Act to direct funding according to need. Recognize the different revenues that comprise operator budgets and that will be affected by the COVID-19 crisis.
3. Allow flexibility to enable the region to address uncertainty/changed circumstances.	Distribute the funds in multiple phases. Limit the initial distribution of funds to approximately 60% of the total funding, given the challenge of accurately predicting revenue losses. Return to the Commission in July with a second programming action to revisit the formula and make any necessary adjustments based on more accurate information on revenue losses and costs incurred from March through June, and more refined forecasts of revenue impacts through the remainder of 2020.
4. Address urbanized area (UZA) constraints associated with federal funds with a needs-based funding distribution of any COVID-19 supplemental state funds.	Because the federal funds are apportioned to the region by UZAs (5 large and 7 small), there may be limitations in how well a regionwide formula can distribute funds in accordance with operators’ actual needs. MTC should take this into consideration in distributing any potential supplemental emergency state funds provided to the region that are under MTC discretion to best achieve a ‘needs-based’ distribution of the combined state and federal COVID-19 supplemental funds.

<p>5. Future distribution(s) – beyond the initial phase – will be subject to a comprehensive COVID-19 recovery strategy that considers any recommended regional adjustments to ensure network connectivity, financial sustainability, and transportation system equity.</p>	<p>Each operator will develop and provide MTC with a COVID-19 recovery strategy. The recovery strategies will consider a) right sizing the services, including criteria for reinstating any service reductions undertaken; b) financial sustainability, including assumptions and rationale regarding how quickly and to what level ridership will recover; and c) how equity/lifeline services are being addressed, including identification of the most transit dependent riders and prioritization of their needs.</p> <p>The proposed actions for this principle will be further guided by the work and direction of the Blue Ribbon Transit Recovery Task Force.</p>
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Date: April 22, 2020  
W.I.: 1512  
Referred By: Commission  
Revised: 07/22/20-C

Attachment B  
Resolution No. 4420  
Page 1 of 7

**San Francisco Bay Area FY2019-20 Emergency Transit Operations  
Assistance Programming Policy**

Metropolitan Transportation Commission  
Bay Area Metro Center  
375 Beale Street, Suite 800  
San Francisco, CA 94105

## I. About the Policy

- a. **Background:** The FY2019-20 Emergency Transit Operations Assistance Programming Policy applies to the programming of supplemental Federal Transit Administration Section 5307 Urbanized Area and 5311 Rural Area formula program funds apportioned to the San Francisco Bay Area in FY2019-20, pursuant to the Coronavirus Aid, Relief, and Economic Security (CARES) Act (H.R. 748).

This policy contains the rules for establishing a program of projects for eligible transit operators in the San Francisco Bay Area Region.

On March 27, 2020, the President signed the CARES Act into law, providing supplemental appropriations for emergency transit operations in response to the global Coronavirus pandemic. These supplemental appropriations were provided via existing FTA Section 5307 and 5311 formula programs, and follow many of the same statutory guidelines and requirements. However, the funds are explicitly eligible for use for operating assistance and capital expenses related to transit operator response to the Coronavirus pandemic.

- b. **Goals & Objectives:** The goal of this policy is to provide emergency operating assistance to transit operators to mitigate lost fare revenues, reduced sales tax revenues, and other lost revenues, and increased costs associated with the Coronavirus pandemic; recognizing distinctions between initial responses to the crisis, and recovery efforts emerging from it;

## II. The Policy

### a. FTA Funds

- i. **Federal Eligibility:** In addition to the typical eligibility for capital and operating projects for the FTA Section 5307 Urbanized Area and FTA Section 5311 Rural Area Formula Programs as described in detail in MTC Resolution Nos. 4036, Revised (5311 Program Policy), and 4242, Revised (Transit Capital Priorities Policy), the CARES Act also makes these funds *“available for the operating expenses of transit agencies related to the response to a coronavirus public health emergency as described in section 319 of the Public Health Service Act, including, beginning on January 20, 2020, reimbursement for operating costs to maintain service and lost revenue due to the coronavirus public health emergency, including the purchase of personal protective equipment, and paying the administrative leave of operations personnel due to reductions in service.”* Further, the CARES Act provides this supplemental funding up to a 100% Federal share.
- ii. **Regional Eligibility:** Transit operators are required to submit annual reports to the National Transit Database (NTD). Service factors reported in large urbanized areas partially determine the amounts of FTA Section 5307 funds generated in the region. An operator is eligible to be programmed and apply to FTA for funds only in designated UZAs, as outlined in Table 1 below. Eligibility is based on geographical operations and 2018 self-reported NTD information and may be broader than the UZA eligibility for the Transit Capital Priorities (TCP) Program (MTC Resolution No. 4242, Revised) typically used for distribution of FTA formula funds, in which

certain operator agreements are recognized. Additionally, MTC is an eligible recipient in each UZA in the region.

**Table 1. Urbanized Area Eligibility**

<b>Urbanized Area</b>	<b>Eligible Transit Operators<sup>†</sup></b>
San Francisco-Oakland	Alameda-Contra Costa Transit District (AC Transit), Altamont Corridor Express (ACE)*, San Francisco Bay Area Rapid Transit District (BART), Peninsula Corridor Joint Powers Board (Caltrain), Fairfield and Suisun Transit (FAST)*, Golden Gate Bridge, Highway & Transportation District (GGBHTD), Marin County Transit District (Marin Transit)*, MTC, San Francisco Municipal Transportation Authority (SFMTA), San Mateo County Transit District (SamTrans), Santa Clara Valley Transportation Authority (VTA), Solano County Transit (SolTrans)*, Sonoma-Marín Area Rail Transit (SMART)*, City of Union City (Union City Transit)*, Water Emergency Transportation Authority (WETA)*, Western Contra Costa Transit Authority (WestCAT)*
San Jose	AC Transit, ACE*, Caltrain, MTC, VTA
Concord	ACE*, BART, Central Contra Costa Transit Authority (CCCTA)*, Eastern Contra Costa Transit Authority (ECCTA/Tri Delta Transit)*, Livermore-Amador Valley Transit Authority (LAVTA)*, MTC, SolTrans*
Antioch	BART, ECCTA/Tri Delta Transit*, MTC
Santa Rosa	GGBHTD, MTC, Santa Rosa CityBus*, SMART*, Sonoma County Transit*
Vallejo	FAST*, MTC, SolTrans*, WETA*
Fairfield	FAST*, MTC, SolTrans*
Vacaville	City of Vacaville (CityCoach)*, FAST*, MTC
Napa	MTC, NVTA/Vine*
Livermore	ACE*, LAVTA*, MTC
Gilroy-Morgan Hill	Caltrain, MTC, VTA
Petaluma	GGBHTD, City of Petaluma*, MTC, SMART*, Sonoma County Transit*

<sup>†</sup> Eligibility based on 2018 NTD Report Data

\*Small Operator

The FTA Section 5311 Rural Area formula program provides funds to transit operators for service in non-urbanized and rural areas. Operator eligibility is determined by non-urbanized service as provided in the 2012 Regional Transit Database, as explained in MTC Resolution No. 4036, and as self-reported in 2018 NTD reporting. Operators eligible to receive Rural Area formula program funds, based on their provision of rural and non-urbanized area service are as follows:

AC Transit	FAST	SamTrans
Caltrain	LAVTA	SolTrans
CCCTA	Marin Transit	Sonoma County Transit
City of Dixon	NVTA/Vine	Vacaville CityCoach
City of Rio Vista	Petaluma	VTA
ECCTA/Tri Delta Transit		

Per the State Management Plan for Federal Transit Funds, Caltrans makes final determination of project eligibility for Section 5311 Rural Area Formula funds.

b. Funding Distribution Methodology

- i. Regional Programming Approach: The Regional Programming Approach, as described below, is designed to prioritize funds to operators based on needs. The approach assumes a regional programming perspective and constrains regional demands to the amount of funds available to the region, prior to programming funds to project. It then assigns funds from urbanized areas in the following order:
  1. Fund needs for operators that are restricted to receiving funds in one UZA (e.g., SFMTA, WestCAT, CCCTA, etc.).
  2. Fund balance of operator needs among multiple UZAs, as eligibility allows, with the objective of fully funding needs (as defined in III.a., below) due to the Coronavirus to the maximum extent possible.
  3. Reduce operator funding proportionately in UZAs where needs exceed available funding.
  4. If, after Future Phase(s) funds are programmed to address pandemic-related operator needs (further described in III.a.2. below), any remaining funds will be programmed for eligible recipients per the TCP Policy (MTC Resolution No. 4242, Revised), but using the UZA eligibility outlined in Table 1 to maintain maximum flexibility with these funds.
- ii. Phased Distribution of Funds: Funds will be distributed in two Phases:
  1. Phase 1: 60.6% of the region's apportionment will be assigned to operators in Phase 1. This phase is intended to roughly address estimated direct operating impacts as a result of the Coronavirus pandemic through June 30, 2020 (e.g., unrealized fare revenue as a result of decreased ridership, unrealized transit agency parking revenue, unrealized bridge toll revenue, increased expenses due to extra cleaning labor and supplies, etc.) using the methodology described in III.a.i., below.
  2. Phase 2: The remaining 39.4% of the region's apportionment will be assigned to operators following the Principles included in Attachment A, with emphasis on the recovery based considerations embodied in Principle 5, to be determined in consultation with regional partners and adopted by the Commission. The methodology for future phases is described in III.a.ii., below.

### III. The Process

- a. The distribution of funds in Phases 1 and 2 will utilize separate methodologies in order to balance the impacts of the Coronavirus pandemic on the various operators in the region. This process recognizes the myriad revenue sources that go into different operator budgets, and seeks to provide equitable levels of funding to each across the region.
  - i. Phase 1 Methodology: The following process describes the methodology used to determine the funding targets to distribute the region's apportionment of CARES Act supplemental FTA funds in Phase 1:
    1. MTC 1% Take-down: 1% of the funds will be assigned to MTC for operating assistance.
    2. The remaining Phase 1 funds will be targeted to operators proportionally based on the following three factors, weighted equally, and with a floor applied such that the Small Operators, as defined above, receive an amount equal to at least 17% of their FY2019-20 operating costs:
      - a. Fare box revenues as reported in operators' FY2019-20 Transportation Development Act (TDA) Claims;
      - b. Operating costs, as reported in operators' FY2019-20 TDA Claims; and
      - c. STA Revenue-based formula qualifying revenues (PUC99314), without the AB 1107 sales tax exclusion.
  - ii. Phase 2 Methodology: The following process describes the methodology used to determine the funding targets to distribute the region's apportionment of CARES Act supplemental FTA funds in Future Phase(s):
    1. MTC 1% Take-down: 1% of the funds will be assigned to MTC for operating assistance.
    2. The remaining Phase 2 funds will be targeted to operators based on the funding each operator received in Phase 1 and their total anticipated revenue losses over a ten-month period. The proposed approach seeks to fully backfill operators' lost revenue due to COVID-19 through December 31, 2020 across both Phase 1 and Phase 2. Because the projected revenue loss across all operators is greater than the total CARES Act funds received, the revenue loss for each operator must be scaled down by 9.87% to allow the March to December need to fit within the available CARES Act funds across both Phase 1 and Phase 2.
    3. To provide additional support for operators that serve higher proportions of transit dependent customers, an "equity adjustment" has been applied to the funding distribution. 25% of an operator's forecasted revenue losses are weighted by its ridership share of very low income. Very low income is defined as under \$50,000 household income.

*Revenue Loss Assumptions*

Amounts shown are a percentage reduction below what the fund source generated prior to COVID-19.

<b>March – August 2020</b>	<b>September – December 2020</b>
Fares -90%	Fares -70%
Sales taxes -45%	Sales taxes -30%
BATA bridge tolls -60%	BATA bridge tolls -25%
Golden Gate Bridge tolls -60%	Golden Gate Bridge tolls -40%
SFMTA Parking -90%	SFMTA Parking -15%
SFMTA General Fund -20%	SFMTA General Fund -20%
Park n Ride revenues -90%	Park n Ride revenues -75%
State Transit Assistance -32%	State Transit Assistance -40%
State Rail Assistance -32%	State Rail Assistance -40%

- iii. **Funding:** Once operator funding targets are determined by the methodology outlined above, the Phase 1 and Phase 2 targets will be funded using the Regional Programming Model described in II.b.i, above.
  
- b. **Annual Programming in the TIP:** MTC, in cooperation with the state and eligible transit operators, is required to develop a Transportation Improvement Program (TIP) for the MTC Region. The TIP is a four-year programming document, listing federally-funded transportation projects, projects requiring a federal action, and projects deemed regionally significant. TCP programming in each year of the TIP will be financially constrained to the estimated apportionment level. Programming adjustments in the TIP will be done in consultation with eligible transit operators in the MTC region.
 

The CARES Act waives the typical requirement for TIP inclusion for the supplemental apportionments included in the Act used for operating assistance or to pay for capital expenses for emergency relief do not need to be included in the TIP/STIP unless the projects are for substantial functional, locational, or capacity changes. [23 CFR §§ 450.326(e)(5), 450.218(g)(5)]. Over time, MTC will work to incorporate all such funding from the CARES Act in to the TIP for fund monitoring purposes. However, inclusion in the TIP is not a precondition for receiving these funds.
  
- c. **Process for Programming Revisions & Amendments:** The principles, policy, and associated programming (Attachments A, B, and C to this resolution) will be revised at a later date to include Future Phase funding amounts for operators and to include more detail on the FTA Section 5311 process, as needed, once provided by Caltrans. MTC will consider revisions to an operator’s programming as requested.
  
- d. **Grant Applications:**
  - i. **FTA Section 5307 Programs:** Each operator is expected to complete their own Federal grant application using FTA’s Transit Award Management System (TrAMS). MTC staff will review grant applications and submit concurrence letters or other required materials to FTA on behalf of project sponsors as needed.

- ii. FTA Section 5311 Program: Operators are responsible for working with Caltrans, the designated recipient and grantee for the Section 5311 program, to respond to calls for projects and submit required materials to access these funds. MTC will assist with the Regional Agency/Transportation Planning Agency (TPA) Certifications and Assurances and any other documentation, as needed.

FY2019-20 Emergency Transit Operations Program of Projects

TIP ID	Operator	Project Description	Total FTA Program	FTA Section 5307	FTA Section 5311
<b>Apportionments</b>			<b>1,288,419,493</b>	<b>1,283,243,071</b>	<b>5,176,422</b>
<b>Regional Transit Programs/Support</b>					
REG190001	MTC	CARES Act-eligible Projects	12,884,194	12,884,194	
<b>Available for Programming</b>			<b>1,275,535,299</b>	<b>1,270,358,877</b>	<b>5,176,422</b>
<b>Phase 1 Programming</b>					
ALA190023	AC Transit	CARES Act-eligible Projects	80,366,395	80,366,395	
ALA190024	ACE <sup>1</sup>	CARES Act-eligible Projects	2,680,453	2,680,453	
ALA190025	BART	CARES Act-eligible Projects	251,637,050	251,637,050	
SM-190011	Caltrain	CARES Act-eligible Projects	49,292,725	49,292,725	
CC-190013	CCCTA	CARES Act-eligible Projects	7,067,680	7,067,680	
SOL190018	City of Dixon	CARES Act-eligible Projects	305,302	-	305,302
CC-190014	ECCTA	CARES Act-eligible Projects	3,891,364	3,891,364	
SOL190020	City of Fairfield	CARES Act-eligible Projects	2,002,985	2,002,985	
MRN190014	GGBHTD	CARES Act-eligible Projects	30,163,006	30,163,006	
ALA190026	LAVTA	CARES Act-eligible Projects	3,501,369	3,501,369	
MRN190013	Marin Transit	CARES Act-eligible Projects	5,438,809	5,199,037	239,772
NAP190005	NVTA	CARES Act-eligible Projects	2,701,734	2,461,683	240,051
SON190008	City of Petaluma	CARES Act-eligible Projects	498,342	498,342	
SOL190019	City of Rio Vista	CARES Act-eligible Projects	119,328	-	119,328
SF-190007	SFMTA	CARES Act-eligible Projects	197,190,672	197,190,672	
SM-190010	SamTrans	CARES Act-eligible Projects	28,519,037	28,341,472	177,565
SON190009	City of Santa Rosa	CARES Act-eligible Projects	2,493,979	2,493,979	
SOL190021	Solano County Transit	CARES Act-eligible Projects	2,590,800	2,590,800	
SON190007	Sonoma County Transit	CARES Act-eligible Projects	3,014,482	2,464,786	549,696
SON190010	SMART	CARES Act-eligible Projects	10,375,471	10,375,471	
ALA190027	Union City Transit	CARES Act-eligible Projects	922,560	922,560	
SOL190022	City of Vacaville	CARES Act-eligible Projects	488,659	488,659	
SCL190038	VTA	CARES Act-eligible Projects	73,023,596	72,932,222	91,374
CC-190015	WCCTA	CARES Act-eligible Projects	2,218,204	2,218,204	
VAR190008	WETA	CARES Act-eligible Projects	12,529,212	12,529,212	
<b>Phase 1 Program Total</b>			<b>773,033,214</b>	<b>771,310,126</b>	<b>1,723,088</b>
<b>Fund Balance</b>			<b>502,502,085</b>	<b>499,048,751</b>	<b>3,453,334</b>
<b>Phase 2 Programming</b>					
ALA190023	AC Transit	CARES Act-eligible Projects	33,793,809	33,793,809	
ALA190025	BART	CARES Act-eligible Projects	125,416,405	125,416,405	
SM-190011	Caltrain	CARES Act-eligible Projects	15,344,609	15,344,609	
CC-190013	CCCTA	CARES Act-eligible Projects	4,745,001	4,745,001	
SOL190018	City of Dixon	CARES Act-eligible Projects	84,971	-	84,971
CC-190014	ECCTA	CARES Act-eligible Projects	4,133,274	3,853,423	279,851
SOL190020	City of Fairfield	CARES Act-eligible Projects	1,935,831	1,935,831	
MRN190014	GGBHTD	CARES Act-eligible Projects	21,417,456	21,417,456	
ALA190026	LAVTA	CARES Act-eligible Projects	3,317,752	3,317,752	
MRN190013	Marin Transit	CARES Act-eligible Projects	4,737,498	3,937,498	800,000
NAP190005	NVTA	CARES Act-eligible Projects	1,675,538	1,675,538	
SON190008	City of Petaluma	CARES Act-eligible Projects	562,604	562,604	
SOL190019	City of Rio Vista	CARES Act-eligible Projects	38,512	-	38,512
SF-190007	SFMTA	CARES Act-eligible Projects	176,592,087	176,592,087	
SM-190010	SamTrans	CARES Act-eligible Projects	17,361,063	16,561,063	800,000
SON190009	City of Santa Rosa	CARES Act-eligible Projects	1,581,689	1,581,689	
SOL190021	Solano County Transit	CARES Act-eligible Projects	2,941,048	2,941,048	
SON190007	Sonoma County Transit	CARES Act-eligible Projects	2,758,113	2,208,113	550,000
NEW	Transbay Joint Powers Authority	CARES Act-eligible Projects	583,287	583,287	
SON190010	SMART	CARES Act-eligible Projects	4,577,061	4,577,061	
ALA190027	Union City Transit	CARES Act-eligible Projects	1,023,851	1,023,851	
SOL190022	City of Vacaville	CARES Act-eligible Projects	1,301,228	1,301,228	
SCL190038	VTA	CARES Act-eligible Projects	68,552,110	67,652,110	900,000
CC-190015	WCCTA	CARES Act-eligible Projects	1,799,643	1,799,643	
VAR190008	WETA	CARES Act-eligible Projects	6,227,645	6,227,645	
<b>Phase 2 Program Total</b>			<b>502,502,085</b>	<b>499,048,751</b>	<b>3,453,334</b>
<b>Total Programming (Phase 1 + Phase 2)</b>			<b>1,288,419,493</b>	<b>1,283,243,071</b>	<b>5,176,422</b>
<b>Fund Balance</b>			<b>-</b>	<b>-</b>	<b>-</b>

Notes:

1. Programming for ACE equal to 50% of the calculated need; remaining 50% will be funded from the San Joaquin Region. Using the proposed needs-based methodology, ACE's need is met when considering the Phase 1 allocation from the MTC region (\$2.7M) and Stockton UZA contributions (\$17.5M). Future emergency funding will necessitate a review of their need and funding.



# APPENDIX A – 27

## *Regional Policies: Project Funding and Specific Funding Programs*

**MTC's Job Access and Reverse Commute (JARC)  
and New Freedom Program Management Plan  
for the Large Urbanized Areas  
of the San Francisco Bay Area  
MTC Resolution No. 3986**



Date: December 15, 2010  
W.I.: 1512  
Referred By: PAC  
Revised: 12/19/12-C

ABSTRACT

Resolution No. 3986, Revised

This resolution adopts the Metropolitan Transportation Commission's Job Access and Reverse Commute (JARC) and New Freedom Program Management Plan for the large urbanized areas of the San Francisco Bay Area.

The following attachment is provided with the resolution:

Attachment A Job Access and Reverse Commute (JARC) and New Freedom Program Management Plan

This resolution was amended on December 19, 2012 to incorporate changes from the Federal Transit Administration's (FTA's) revised Title VI Circular (FTA Circular 4702.1B).

Further discussion of this action is contained in the Programming and Allocations Committee Summary sheets dated December 8, 2010, and December 12, 2012.

Date: December 15, 2010  
W.I.: 1512  
Referred By: PAC

Re: Job Access and Reverse Commute (JARC) and New Freedom Program Management Plan

METROPOLITAN TRANSPORTATION COMMISSION

Resolution No. 3986

WHEREAS, Title 49 United States Code (U.S.C.) Section 5316 (49 U.S.C. 5316) authorizes and sets forth the provisions for the Job Access and Reverse Commute Program, which makes grants to recipients for access to jobs and reverse commute projects; and

WHEREAS, Title 49 U.S.C. Section 5317 (49 U.S.C. 5317) authorizes and sets forth the provisions for the New Freedom Program, which makes grants to recipients for addressing the transportation needs of disabled persons through the provision of new services and facility improvements that go beyond those required by the Americans with Disabilities Act; and

WHEREAS, 49 U.S.C. §5316(c) apportions Job Access and Reverse Commute funds by formula to large urbanized areas, small urbanized areas, and non-urbanized areas; and

WHEREAS, 49 U.S.C. §5317(c) apportions New Freedom funds by formula to large urbanized areas, small urbanized areas, and non-urbanized areas; and

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, MTC is also the federally designated metropolitan planning organization (MPO) for the nine-county San Francisco Bay Area; and

WHEREAS, consistent with 49 U.S.C. §5307(a)(2), MTC is the designated recipient of the Federal Transit Administration's (FTA's) Job Access Reverse Commute and New Freedom funding apportionments for large urbanized areas in the nine-county San Francisco Bay Area; and

WHEREAS, the Federal Transit Administration (FTA) has published FTA Circular 9050.1 entitled "The Job Access and Reverse Commute (JARC) Program Guidance and

Application Instructions," dated May 1, 2007, which issues guidance on the administration of the JARC Program under 49 U.S.C. 5316; and

WHEREAS, the Federal Transit Administration (FTA) has published FTA Circular 9045.1 entitled "New Freedom Program Guidance and Application Instructions," dated May 1, 2007, which issues guidance on the administration of the New Freedom Program under 49 U.S.C. 5317; and

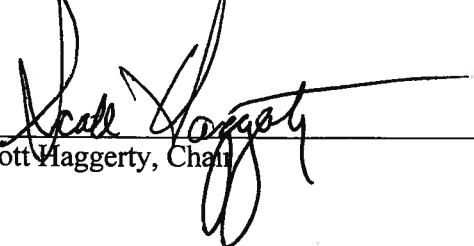
WHEREAS, FTA Circulars 9045.1 and 9050.1 require designated recipients to describe their policies and procedures for administering FTA's JARC and New Freedom programs in a Program Management Plan (PMP); now, therefore, be it

RESOLVED, that MTC hereby adopts the Job Access and Reverse Commute and New Freedom Program Management Plan, consistent with the requirements of FTA Circulars 9045.1 and 9050.1, attached hereto and incorporated herein as Attachment A; and, be it further

RESOLVED, that the Executive Director of MTC is authorized and directed to make minor changes to Attachment A of this resolution as may be necessary from time to time, with appropriate notification to stakeholders; and, be it further

RESOLVED, that the Executive Director or designee shall forward a copy of this resolution and such other information as may be required to the Federal Transit Administration and to other such agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Scott Waggerty, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of this Commission held in Oakland, California, December 15, 2010.

Date: December 15, 2010  
W.I.: 1512  
Referred By: PAC  
Revised: 12/19/12-C

Attachment A  
Resolution No. 3986  
Page 1 of 16



METROPOLITAN  
TRANSPORTATION  
COMMISSION

## **PROGRAM MANAGEMENT PLAN**

**Federal Transit Administration  
Section 5316 Job Access and Reverse Commute and  
Section 5317 New Freedom Programs**

**December 2012**

## **PROGRAM MANAGEMENT PLAN**

### **Federal Transit Administration Section 5316 Job Access and Reverse Commute and Section 5317 New Freedom Programs**

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This Program Management Plan (PMP) describes the Metropolitan Transportation Commission's policies and procedures for administering the Federal Transit Administration's (FTA's) Section 5316 Job Access and Reverse Commute (JARC) and Section 5317 New Freedom (NF) Programs in accordance with requirements in FTA Circulars C 9050.1 and 9045.1, both dated May 1, 2007.

## **I. GENERAL**

The Metropolitan Transportation Commission (MTC) is the federally-designated Metropolitan Planning Organization (MPO) and state-designated Regional Transportation Planning Agency (RTPA) for the San Francisco Bay Area, including the counties of Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma. Created by the state Legislature in 1970 (California Government Code § 66500 et seq.), MTC is the transportation planning, coordinating and financing agency for the nine-county region. MTC's work is guided by a 19-member policy board: fourteen commissioners appointed directly by local elected officials; two members representing regional agencies — the Association of Bay Area Governments and the Bay Conservation and Development Commission; and three nonvoting members representing federal and state transportation agencies and the federal housing department.

The Governor of California designated MTC to be the recipient of JARC and New Freedom funds apportioned to the Bay Area's urbanized areas over 200,000 in population, referred to as the Antioch, Concord, San Francisco-Oakland, San Jose, and Santa Rosa large urbanized areas. Transit services in the over 7,000-square mile region are provided by over two dozen transit operators.

The stakeholders listed in Section IV have been provided with an opportunity to review and comment on this PMP, as required in the FTA Circulars.

## **II. PURPOSE OF PMP**

This PMP is intended to fulfill several functions:

1. Serve as the basis for FTA to perform management reviews of MTC's administration of the program;
2. Provide public information on MTC's administration of the program; and,
3. Provide program guidance to local project applicants.

## **III. PROGRAM GOALS AND OBJECTIVES**

**JARC:** FTA's goal for the JARC program is to improve access to transportation services to employment and employment-related activities for welfare recipients and eligible low-income individuals, and to transport residents of urbanized areas and nonurbanized areas, regardless of income level, to suburban employment opportunities. FTA's objectives are:

- a. To increase the number of jobs that can be accessed as a result of geographic or temporal coverage; and,
- b. To increase the number of rides provided.

**New Freedom:** FTA's goal for the New Freedom program is to reduce barriers to transportation services and expand the transportation mobility options available to people with disabilities beyond the requirements for the Americans with Disabilities Act of 1990. FTA's objectives are:

- a. To increase or enhance geographic coverage, service quality and/or service times that impact availability of transportation services for individuals with disabilities;
- b. To add or change environmental infrastructure (e.g. transportation facilities, sidewalks, etc.), technology, and vehicles that impact availability of transportation services; and
- c. To increase the number of rides provided for individuals with disabilities.

**MTC's Program:** MTC aims to fulfill the following objectives through its administration of the JARC and New Freedom Programs:

- a. To advance the recommendations in the Bay Area's Coordinated Public Transit-Human Services Transportation Plan (Coordinated Plan), including implementing the priority solutions to the identified transportation gaps and the strategies to enhance service delivery for the transportation-disadvantaged population in the region;
- b. To encourage high levels of program participation in the Bay Area by conducting outreach, and coordinating MTC's efforts with Caltrans' efforts for the small urbanized and rural areas; and,
- c. To administer the JARC program as an integral part of MTC's larger Lifeline Transportation Program, which is a funding program intended to improve the mobility options of the region's low-income population.

#### **IV. ROLES AND RESPONSIBILITIES**

**MTC:** As the designated recipient of JARC and New Freedom funds for the Bay Area's large urbanized areas, MTC has the principal authority and responsibility for administering the programs. MTC's responsibilities include:

- a. Notifying eligible local entities of funding availability;
- b. Developing project selection criteria;
- c. Determining applicant eligibility (in consultation with FTA when needed);
- d. Conducting the competitive selection process to determine which projects should receive funding (in conjunction with the County Lifeline Program Administrators for the JARC/Lifeline program);
- e. Seeking Commission approval for the programs of projects;
- f. Amending approved projects into the Transportation Improvement Program (TIP);
- g. Forwarding a program of projects to FTA;
- h. Documenting procedures in this PMP;
- i. Certifying that grants are distributed on a fair and equitable basis; and,
- j. Certifying that all projects are derived from the Bay Area's Coordinated Plan.

Transit operators who are FTA grantees must serve as direct recipients and submit their own JARC and New Freedom grants, if they are selected through the competitive process for the Lifeline and New Freedom Programs. MTC will serve as the direct recipient for non-FTA grantee



transit operators or public entities, and for non-profits, that are competitively selected for the JARC and New Freedom programs.

In the role of a direct recipient (for non-FTA grantee transit operators or public entities, and for non-profits only), MTC's responsibilities also include:

- a. Forwarding a grant application to FTA;
- b. Entering into funding agreements with subrecipients; and
- c. Monitoring subrecipient compliance with Federal requirements, through inclusion of such requirements in subrecipient agreements and through ongoing monitoring activities. (See Section XVI on Designated Recipient Program Management.)

**Recipients/subrecipients:** JARC and New Freedom recipients/subrecipients' responsibilities include:

- a. For direct recipients (transit operators who are FTA grantees), submitting a grant application to FTA and carrying out the terms of that grant;
- b. Meeting program requirements and grant/funding agreement requirements including, but not limited to, Title VI reporting requirements;
- c. Making best efforts to execute selected projects; and
- d. Complying with other applicable local, state, and federal requirements.

**Caltrans:** The California Department of Transportation (Caltrans) is the designated recipient of JARC and New Freedom funds for the State's small urbanized and rural areas. In the Bay Area, there are seven small urbanized areas: Fairfield, Gilroy-Morgan Hill, Livermore, Napa, Petaluma, Vacaville, and Vallejo. Caltrans is responsible for administration of JARC and New Freedom funds for the small and non-urbanized areas listed above.

**CMAs:** For JARC, MTC delegates prioritization of project applications to the Congestion Management Agencies (CMAs) of each county. MTC approves Lifeline guidelines for each funding cycle that may spell out more specific instructions for conducting calls for projects. See Section VIII on Project Selection Criteria and Method of Distributing Funds.

**Other/Advisory Groups:** The following groups also advise MTC's administration of the programs:

- Policy Advisory Council – A 27-member panel with membership structured around interests related to the economy, the environment and social equity. In the areas of economy and the environment, there are a total of nine members, with four members representing economic interests and four bringing an environmental perspective; the ninth member is representative of either category. In the area of social equity, nine members (one from each county) represent communities of color and issues affecting low-income communities or environmental justice. Of these, four members represent communities of color and four members represent environmental justice/low-income issues; the ninth member is representative of either category. In addition, nine members (one from each county) represent issues related to transportation for seniors and persons with disabilities. Four members represent seniors and four members represent people with disabilities; the ninth member is representative of either category

- Bay Area Partnership - The Bay Area Partnership Board consists of the top managers of public agencies responsible for moving people and goods in the Bay Area, as well as protecting the region's environmental quality. The Partnership collaboratively assists the Commission in fashioning consensus among its federal, state, regional and local transportation agency partners regarding the policies, plans and programs to be adopted and implemented by the Commission.

The Partnership may establish committees to assist in its business. The committee and working group that currently address funding topics including JARC and New Freedom are the Partnership Technical Advisory Committee and the Transit Finance Working Group.

- Accessibility Committee, formerly the Partnership Transit Coordinating Council – A group of representatives from 21 Bay Area transit operators who meet and confer about paratransit policies and procedures in the region (generally staff works with this committee on New Freedom only).

In general, MTC staff consults with these groups in the development of program guidelines and programs of projects.

## **V. COORDINATION**

From the programming process perspective, the level of coordination in the Bay Area is enhanced by virtue of MTC being the designated recipient for the five large urbanized areas. MTC also makes every effort to coordinate the programming efforts for the large urbanized areas with Caltrans' efforts for small urbanized area programming. MTC has also dedicated staff to manage the programming of JARC, New Freedom, and the related Elderly and Disabled Specialized Transit Program (also known as the 5310 Program) in the region. These staff serve several functions that enhance coordination: day-to-day points of contact for other stakeholders in the region; reporting to MTC's advisory groups; and also providing feedback to other staff on related aspects of MTC's legislative program.

From the programming priorities perspective, MTC, through the Bay Area's Coordinated Public Transit Human Services Transportation Plan (Coordinated Plan), strongly encourages the following strategies that enhance service delivery for the transportation-disadvantaged population: enhancing land use and transportation coordination; promoting enhanced pedestrian access to public transit and other modes of travel; promoting coordinated advocacy and improving efforts to coordinate funding with human service agencies; improving interjurisdictional and intermodal travel; and developing and implementing mobility management approaches.

## **VI. ELIGIBLE RECIPIENTS/SUBRECIPIENTS**

MTC designates the same eligible recipients/subrecipients for the JARC and New Freedom programs as allowed by Federal guidelines:

- a. Private non-profit organizations;
- b. State or local governmental authority; and
- c. Operators of public transportation services, including private operators of public transportation services.

## **VII. LOCAL SHARE AND LOCAL FUNDING REQUIREMENTS**

MTC generally requires the same local match for the JARC and New Freedom programs as required by Federal guidelines: minimum of 20 percent of the project cost for eligible capital projects, and minimum of 50 percent for eligible operational projects. MTC will indicate any deviations from this match requirement at the time of each funding cycle, and will document the match requirements in the program guidelines.

## **VIII. PROJECT SELECTION CRITERIA & METHOD OF DISTRIBUTING FUNDS**

MTC develops program guidelines with each call for projects. For JARC, the program guidelines are part of MTC's larger Lifeline Transportation Program. Developing new guidelines with each solicitation provides MTC with the flexibility to designate regional priorities as needed and to incorporate refinements based on lessons learned from prior funding cycles. The guidelines include relevant excerpts from the program circulars and additional information that is particular to the Bay Area, and they are prepared with the goals of providing sufficient information for prospective applicants to determine whether they should apply for funds and making transparent the competitive selection process. In general, staff will provide the various advisory groups an opportunity to comment on the draft program guidelines prior to seeking formal approval of those guidelines. The frequency of competition is determined by MTC, and does not cover more than three years of funding. MTC publicly advertises the availability of funds and selection criteria in formats and forums appropriate to the potential recipients/subrecipients. Applicants are required to fill out a standardized application form to facilitate the evaluation process. The application forms are prepared in accordance with the guidelines.

In connection with MTC's Title VI monitoring obligations, as outlined in FTA Circular 4702.1B, Title VI Requirements and Guidelines for Federal Transit Administration Recipients, ("Title VI Circular"), issued on October 1, 2012 applicants will be required to provide the following information:

- The organization's policy regarding Civil Rights (based on Title VI of the Civil Rights Act) and for ensuring that benefits of the project are distributed equitably among minority population groups in the project's service area.
- Information on whether the project will provide assistance to predominantly minority populations. (Projects are classified as providing service to predominantly minority

populations if the proportion of minority persons residing in the project's geographic service area exceeds the average proportion of minority persons in the region.)

In order to document that JARC and New Freedom funds are passed through without regard to race, color or national origin, and to document that minority populations are not being denied the benefits of or excluded from participation in the JARC and New Freedom programs, MTC will prepare and maintain the following information, as required by the Title VI Circular, Chapter VI(6):

- a. A record of funding requests received from private non-profit organizations, State or local governmental authorities, and Indian tribes. MTC's records will identify those applicants that would use grant program funds to provide assistance to predominantly minority populations and indicate whether those applicants were accepted or rejected for funding.
- b. A description of how MTC develops its competitive selection process or annual program of projects submitted to FTA as part of its grant applications. The description will emphasize the method used to ensure the equitable distribution of funds to subrecipients that serve predominantly minority populations, including Native American tribes, where present.
- c. A description of MTC's criteria for selecting entities to participate in an FTA grant program.

**JARC:** MTC established regional evaluation criteria for all Lifeline Transportation Program projects, including project need/stated goals and objectives; implementation plan; project budget/sustainability; coordination and program outreach; and cost-effectiveness and performance indicators. The competitive selection process is conducted on a county-wide basis by designated Lifeline Program Administrators (LPAs), which are the Congestion Management Agencies (CMAs) for all counties, except in Santa Clara County where the program is administered jointly by the CMA and the County. The LPAs are allowed to establish the weight to be assigned to each criterion, and to add additional criteria as they see fit with MTC's review. Each LPA appoints a local review team of CMA staff, as well as representatives of local stakeholders, such as local jurisdictions, transit operators or other transportation providers, community-based organizations, social service agencies, and members of MTC's Policy Advisory Council, to score and select projects. Each LPA assigns local priorities for project selection and is required by MTC to maintain a transparent process.

In funding projects, preference is given to strategies emerging from local Community-Based Transportation Planning (CBTP) processes, countywide regional welfare-to-work transportation plans or other documented assessment of need within the designated communities of concern. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable.

In addition, MTC will certify that projects have been derived from the Bay Area's Coordinated Plan. While federal requirements prohibit the sub-allocation or distribution of JARC funds in any

way other than through a competitive process, MTC provides each County CMA with a target programming amount that is based upon the County's proportion of the region's poverty population.

**New Freedom:** MTC conducts the competitive selection process, and certifies that projects have been derived from the Bay Area's Coordinated Plan. The project selection criteria include need and benefits; coordination, partnership, and outreach; and project readiness. Applicants are informed that they are eligible to apply for funds in the large urbanized area(s) (UAs) in which their projects will provide services. An evaluation panel consisting of MTC staff and representatives of the interests of the region's disabled population evaluate and score the applications.

#### **IX. PROGRAM OF PROJECTS DEVELOPMENT AND APPROVAL PROCESS**

MTC staff strive to provide sufficient time for prospective applicants to develop their project ideas and prepare their project applications; for evaluation panels to review and score project applications and develop the proposed program of projects; for staff to discuss with the various relevant working groups the results of the evaluation process and present the proposed program of projects; and for staff to present the proposed program of projects for approval by MTC's Programming and Allocation Committee and subsequent adoption by the MTC. In total, the process is expected to take about four to six months from the time the call for projects is issued to MTC's adoption of the program of projects. The detailed timeline for each call for projects is issued along with the program guidelines. The adopted program of projects is made available to the public on MTC's web site.

#### **X. ADMINISTRATION, PLANNING, AND TECHNICAL ASSISTANCE**

The FTA JARC Circular (FTA Circular 9050.1) and the FTA New Freedom Circular (FTA Circular 9045.1) allow MTC to use up to 10 percent of the total fiscal year JARC and New Freedom apportionments to fund program administration costs including administration, planning and technical assistance. MTC will indicate any JARC and New Freedom funds proposed for program administration at the time of each funding cycle, and will document the amount, if any, in the program guidelines.

Information about the JARC and New Freedom programs is provided on MTC's web site. MTC staff are also available by telephone or e-mail to provide technical assistance throughout the program process. During project solicitation, workshops are offered for prospective applicants. After projects have been selected, recipients/subrecipients are informed of necessary steps in order to obtain the grant award.

#### **XI. TRANSFER OF FUNDS**

MTC does not transfer any JARC or New Freedom program funds to Section 5311 or 5307 programs.

## **XII. PRIVATE SECTOR PARTICIPATION**

MTC conducts public outreach to potential private sector program participants using several avenues: agencies may request to be included in MTC's mailing list for funding notices; MTC sends out funding notices to various stakeholder groups; and MTC makes announcements at various meetings of the groups described under Section IV. The stakeholder groups to whom funding notices are sent include private non-profit organizations that participated in the preparation of the Coordinated Plan, as well as the County Paratransit Coordinating Councils, which have contacts with private transportation providers like taxi companies.

## **XIII. CIVIL RIGHTS**

MTC complies with all provisions prohibiting discrimination on the basis of race, color, or national origin on Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. §§ 2000d *et seq.*);, U.S. D.O.T. regulations, "Nondiscrimination in Federally-Assisted Programs of the Department of Transportation – Effectuation of Title VI of the Civil Rights Act", (49 C.F.R. Part 21) and the Title VI Circular.

The Title VI Circular (4220.1B) and its predecessor (4220.1A) require the submission of a Title VI Program to FTA and Caltrans. MTC's last Title VI Program under Circular 4702.1A was filed in November 2010. MTC's first Title VI Program under the current Title VI Circular (4702.1B) will be due and filed in October 2014.

MTC specifically requires in all third party contracts and funding agreements that the subrecipient/contractor at any tier complies with all requirements of Title VI. Failure to do so is considered to be a breach of contract.

Furthermore, MTC complies with all applicable equal employment opportunity (EEO) provisions of 49 U.S.C. §§ 2000e, and implementing federal regulations and any subsequent amendments thereto. MTC ensures that applicants and employees of MTC are treated fairly without regard to their race, color, creed, sex, disability, age, or national origin. MTC specifically requires in all its third party contracts and funding agreements that the contractor/subrecipient agree to comply with all applicable EEO requirements of Title VI and states that failure to do so is considered a breach of contract. MTC will also investigate any complaints received alleging breach of the requirements of Title VI.

Lastly, MTC does not discriminate on the basis of race, color, sex, or national origin in the award and performance of any federally assisted third party contract or funding agreement in the administration of its DBE Program and complies with the requirements of 49 C.F.R. Part 26. It will take all necessary and reasonable steps set forth in 49 C.F.R. Part 26 to ensure nondiscrimination in the award and administration of all third party contracts and funding agreements. On June 2, 2009, MTC executed a DBE Implementation Agreement with Caltrans to establish race conscious means or contract goals for meeting the overall statewide annual DBE goal. As required by 49 C.F.R. Part 26 and approved by U.S. D.O.T., MTC's DBE Program is incorporated into and made part of its third party contracts and agreements. MTC specifically states in its third party contracts and funding agreements that breach of the MTC DBE Program

and/or failure by the contractor/subrecipient to honor all commitments made to DBEs at the time of award will be considered a breach of contract. Further, MTC requires subrecipients that are not FTA grantees to submit in their invoices and on an annual basis actual DBE participation.

#### **XIV. SECTION 504 AND ADA REPORTING**

MTC agrees to comply with the requirements of 49 U.S.C. 5301 (d), which states the federal policy that elderly individuals and individuals with disabilities have the same right as other individuals to use public transportation services and facilities, and that special efforts will be made in planning and designing those services and facilities to implement transportation accessibility rights for elderly individuals and individuals with disabilities. MTC also agrees to comply with all applicable provisions of Section 504 of the Rehabilitation Act of 1973, as amended, with 29 U.S.C. 794 which prohibits discrimination on the basis of disability and with the Americans with Disabilities Act of 1990 (ADA), as amended, 42 U.S.C. 12101 et seq., which requires that accessible facilities and services be made available to individuals with disabilities, and any subsequent amendments to these laws. Finally, MTC agrees to comply with applicable implementing federal regulations and directives and any subsequent amendments thereto.

MTC specifically requires in all third party contracts and funding agreements that the subrecipient/contractor at any tier complies with the applicable provisions of the Americans with Disabilities Act (ADA) of 1990, which prohibits discrimination on the basis of disability, as well as applicable regulations and guidelines issued pursuant to the ADA (42 U.S.C. 12101 et seq.), Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. § 794; Section 16 of the Federal Transit Act, as amended, 49 U.S.C. § 5310(f); and their implementing regulations.

#### **XV. PROGRAM MEASURES**

The reporting and data collection measures of the JARC and New Freedom Programs are/will be specified in the funding agreements with the subrecipients. The following data are required at a minimum, consistent with FTA's reporting requirements for each program:

##### **JARC:**

- Actual or estimated number of jobs that can be accessed as a result of geographic or temporal coverage of JARC projects implemented in the current reporting year.
- Actual or estimated number of rides (as measured by one-way trips) provided as a result of the JARC projects implemented in the current reporting year.

##### **New Freedom:**

- Services provided that impact availability of transportation services for individuals with disabilities as a result of the New Freedom projects implemented in the current reporting year. Examples include geographic coverage, service quality, and/or service times.
- Additions or changes to environmental infrastructure (e.g., transportation facilities, sidewalks), technology, vehicles that impact availability of transportation services as a result of New Freedom projects implemented in the current reporting year.

- Actual or estimated number of rides (as measured by one-way trips) provided for individuals with disabilities as a result of New Freedom projects implemented in the current reporting year.

## **XVI. DESIGNATED RECIPIENT PROGRAM MANAGEMENT**

The following section applies only to grants that MTC will administer on behalf of subrecipients for the JARC and New Freedom programs. When FTA grantees become direct recipients of JARC and New Freedom funds, they will sign a supplemental agreement found in TEAM, and MTC is released from any liability pertaining to the direct recipient grant. The direct recipient is then responsible for adhering to FTA requirements through their agreements and grants with FTA directly. MTC reserves the right to reprogram funds if direct recipients fail to obligate the JARC and New Freedom funds through grant submittal and FTA approval within 12 months of program approval.

**Title VI:** MTC requires that all JARC and New Freedom subrecipients submit all appropriate FTA certifications and assurances to MTC prior to funding agreement execution and annually thereafter when FTA publishes the annual list of certifications and assurances. MTC will not execute any funding agreements prior to having received these items from the selected subrecipients. MTC, within its administration, planning, and technical assistance capacity, also will comply with all appropriate certifications and assurances for FTA assistance programs and will submit this information to the FTA as required.

The certifications and assurances pertaining to civil rights include:

1. Nondiscrimination Assurances in Accordance with the Civil Rights Act
2. Documentation Pertaining to Civil Rights Lawsuits and Complaints

Nondiscrimination assurances included above involve the prohibition of discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibit discrimination in employment or business opportunity, as specified by 49 U.S.C. 5332 (otherwise known as Title VI of the Civil Rights Act of 1964), as amended (42 U.S.C. 2000d et seq.) and U.S. DOT regulations, *Nondiscrimination in Federally-Assisted Programs of the Department of Transportation-Effectuation of Title VI of the Civil Rights Act*, 49 C.F.R. Part 21. By complying with the Civil Rights Act, no person, on the basis of race, color, national origin, creed, sex, or age, will be excluded from participation in, be denied the benefits of any program for which the subrecipient receives federal funding via MTC.

As a condition of receiving Federal Transit Administration JARC or New Freedom program funds, subrecipients must comply with the requirements of the US Department of Transportation's Title VI regulations. The purpose of Title VI is to ensure that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance. Subrecipients are also responsible for ensuring compliance of each of their subrecipients (if any), including collecting Title VI Programs, and for



ensuring that their third-party contractors are complying with Title VI and the subrecipient's Title VI Program. (See FTA C 4702.1B Chapter II (6) and Appendix L, Scenario Three.)

*Title VI Programs*

All JARC and NF subrecipients must submit Title VI Programs to MTC. Title VI Programs will be required with the submission of the standard agreement and annually thereafter with the submission of the annual FTA certifications and assurances.

Every Title VI Program shall include the following information (Note: detailed instructions on the following Title VI requirements are available in FTA C 4702.1B, Chapter III-2 through III-12):

- (1) A copy of the subrecipient's Title VI notice to the public that indicates the subrecipient complies with Title VI, and informs members of the public of the protections against discrimination afforded to them by Title VI. Include a list of locations where the notice is posted. A sample Title VI notice is in FTA C 4702.1B, Appendix B. Subrecipients may choose to adopt MTC's notice to beneficiaries where appropriate.
- (2) A copy of the subrecipient's instructions to the public regarding how to file a Title VI discrimination complaint, including a copy of the complaint form. Sample complaint procedures are in FTA C 4702.1B, Appendix C, and a sample Title VI complaint form is in FTA C 4702.1B, Appendix D. Subrecipients may choose to adopt MTC's complaint procedures and complaint form where appropriate.
- (3) A list of any public transportation-related Title VI investigations, complaints, or lawsuits filed with the subrecipient since the time of the last submission. See FTA C 4702.1B, Appendix E for an example of how to report this information. This list should include only those investigations, complaints, or lawsuits that pertain to allegations of discrimination on the basis of race, color, and/or national origin in transit-related activities and programs and that pertain to the subrecipient submitting the report, not necessarily the larger agency or department of which the subrecipient is a part.
- (4) A public participation plan that includes an outreach plan to engage minority and limited English proficient populations, as well as a summary of outreach efforts made since the last Title VI Program submission. A subrecipient's targeted public participation plan for minority populations may be part of efforts that extend more broadly to include other constituencies that are traditionally underserved, such as people with disabilities, low-income populations, and others. Subrecipients may choose to adopt MTC's public participation plan where appropriate.
- (5) A copy of the subrecipient's plan for providing language assistance to persons with limited English proficiency, based on the DOT LEP Guidance. Subrecipients may choose to adopt MTC's language assistance plan where appropriate. Operational differences between MTC and the subrecipient may require, in some instances, that the subrecipient tailor its language assistance plan.

- (6) Subrecipients that have transit-related, non-elected planning boards, advisory councils or committees, or similar bodies, the membership of which is selected by the subrecipient, must provide a table depicting the racial breakdown of the membership of those committees, and a description of efforts made to encourage the participation of minorities on such committees or councils.
- (7) Those subrecipients who are also primary recipients (i.e., those who have their own subrecipients) shall include a narrative or description of efforts the primary recipient uses to ensure subrecipients are complying with Title VI, as well as a schedule of subrecipient Title VI program submissions.
- (8) If the subrecipient has constructed a facility, such as a vehicle storage facility, maintenance facility, operation center, etc., the subrecipient shall include a copy of the Title VI equity analysis conducted during the planning stage with regard to the location of the facility.
- (9) Additional information as specified in FTA C 4702.1B chapters IV, V, and VI, depending on whether the subrecipient is a fixed route transit provider, a State, or an MPO.

The Title VI Program must be approved by the subrecipient's board of directors or appropriate governing entity or official(s) responsible for policy decisions prior to submission to MTC. Subrecipients shall submit a copy of the board resolution, meeting minutes, or similar documentation with the Title VI Program as evidence that the board of directors or appropriate governing entity or official(s) has approved the Title VI Program.

**Procurement:** Each subrecipient is required to conduct procurement activities in accordance with their own procurement procedures that should reflect applicable State and local laws, provided that it conforms to federal requirements at 49 CFR Part 18 and guidance contained in FTA Circular 4220.1F. Certification of compliance will be made a part of the subrecipient's application and its contract with MTC.

**Property Management and Vehicle Use, Maintenance, and Disposition:** Real property requirements do not apply to either JARC or New Freedom. MTC complies with all applicable requirements in the FTA Grant Management Guidelines (FTA Circular 5010.1D) with regard to equipment, supplies, and rolling stock purchases by making the requirements part of the subrecipients' contract with MTC.

**Financial Management:** MTC complies with all applicable standards set forth in 49 CFR 18.20(b) and guidance in the FTA Grant Management Guidelines (FTA Circular 5010.1C) with regard to accounting records, internal controls, budget control, financial management systems, cost standards, financial reporting requirements, and annual audit. With regard to program income, funding from both programs is on a reimbursement basis, so no program income accrues to MTC. MTC does not conduct third-party contract audits.

**Accounting System:** MTC uses the Integrated Fund Accounting System (IFAS) to record and track program encumbrances and expenditures.

**Audit:** MTC complies with the requirements of OMB Circular A-133, “Audits of States, Local Governments, and Non-Profit Organizations” and provisional OMB Circular A-133 Compliance Supplement of May 1998. MTC may also require subrecipients that are required to be audited because total Federal funds from all sources exceed the \$500,000 threshold to submit A-133 audit reports for review to ensure that audit findings are resolved. At a minimum, MTC requires subrecipients to bring to MTC’s attention any audit findings relevant to their use of FTA funds.

**Close-Out:** Upon project completion, MTC will comply with the requirements set forth in the Close-Out Procedures section of the FTA Grant Management Guidelines (FTA Circular 5010.1D) and of the JARC and New Freedom Circulars.

**Project Monitoring and Reporting:** MTC maintains spreadsheets to track project expenditures, amounts charged to funding sources, local matching sources, and project budgets and schedules. MTC will be responsible for reporting to FTA the total expenditures for each federal grant and reconciling the grant expenditures and revisions to the project budgets. Further, subrecipients are required to submit to MTC status reports on a quarterly basis.

**On-Site Reviews:** MTC and/or its representatives may perform on-site project monitoring visits with subrecipients. Site visits may be conducted using checklists that outline accounting and record-keeping requirements in compliance with OMB Circulars A-122 and A-87 if the subrecipient received operating assistance; OMB 49 CFR Part 18 and Part 19 administrative requirements; the regulatory requirements for receipt of federal funds; and vehicle inventory and maintenance records if the subrecipient received capital assistance.

**Standards for Productivity, Cost-Effectiveness, and Service:** MTC has not set standards for productivity, cost-effectiveness, and service. Subrecipients are required to report on the program measures outlined in Section XV above.

## **XVII. OTHER PROVISIONS**

**Environmental Protection:** MTC anticipates funding only projects with categorical exclusions from both the National Environmental Protection Act (NEPA) and the State’s Energy Conservation Plan and Clean Air and Water Pollution Acts. However, should a project be approved that is subject to environmental review, MTC will require the subrecipient to prepare the environmental document and Notice of Determination for federal certification before the subrecipient receives any project funds.

**Buy America, Pre-Award and Post-Delivery Reviews:** MTC does not anticipate funding procurements over \$100,000. However, should such a project be approved, MTC will require subrecipients to certify compliance with Buy America requirements as listed in 49 USC 5323(j) and 49 CFR Part 661; and for procurement of vehicles other than sedans or unmodified vans, with pre-award audit, bid analysis, post-delivery audit, and final inspection requirements in 49 CFR parts 663 and 665.

**Restrictions on Lobbying:** MTC requires each subrecipient receiving more than \$100,000 to complete FTA’s Certification on Lobbying prior to contract execution.

**Prohibition on Exclusive School Transportation:** Subrecipients may not provide school bus transportation. School bus transportation is defined by FTA as transportation exclusively for school students or personnel. Subrecipients are required to certify compliance. An exception would be the transportation of students with disabilities who are eligible passengers.

**Drug and Alcohol Testing:** MTC requires subrecipients to make appropriate certifications of compliance with federal requirements for Prevention of Alcohol Misuse and Prohibited Drug Use in Transit Operations.

**Monitoring Compliance by Subrecipients:** MTC makes appropriate certifications of compliance with Federal requirements. MTC includes language regarding these federal requirements in its contracts with subrecipients and requires each subrecipient to execute a certification of compliance with the relevant federal requirements. Subrecipient certifications are required of the subrecipient prior to the execution of a contract by MTC and annually thereafter when FTA publishes the annual list of certifications and assurances. MTC may also conduct on-site visits as described in the previous section.

# APPENDIX A – 28

## *Regional Policies: Project Funding and Specific Funding Programs*

**MTC's Lifeline Transportation Program Cycle 6  
Guidelines for FY 2018-19 and FY 2019-20**

**MTC Resolution No. 4416**



Date: June 24, 2020  
W.I.: 1310  
Referred by: PAC

ABSTRACT

Resolution No. 4416

This Resolution adopts the Lifeline Transportation Program Cycle 6 Guidelines.

The following attachment is provided with this Resolution:

Attachment A —Lifeline Transportation Program Cycle 6 Guidelines FY2018-19 and  
FY2019-20

Further discussion of the Lifeline Transportation Program Cycle 6 Guidelines is provided in the  
Programming and Allocations Committee Summary sheet dated June 10, 2020.

Date: June 24, 2020  
W.I.: 1310  
Referred by: PAC

RE: Lifeline Transportation Program Cycle 6 Guidelines

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4416

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation agency for the San Francisco Bay Area pursuant to Government Code Section 66500 *et seq.*; and

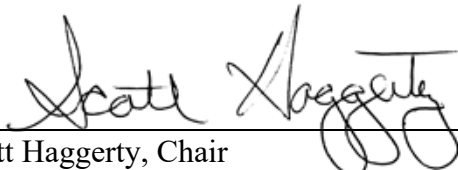
WHEREAS, MTC adopted Resolution 4242, which established the Transit Capital Priorities Process and Criteria for programming FY2016-17 through FY2019-20 Federal Transit Administration Section 5307 Urbanized Area Formula funds, including a set-aside for the Lifeline Transportation Program; and

WHEREAS, MTC will use the process and criteria set forth in Attachment A of this Resolution to fund a Cycle 6 for the Lifeline Transportation Program; now, therefore be it

RESOLVED, that MTC approves the program guidelines to be used in the administration and selection of Cycle 6 Lifeline Transportation projects, as set forth in Attachment A of this Resolution; and be it further

RESOLVED, that the Executive Director of MTC shall forward a copy of this Resolution, and such other information as may be required, to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Scott Haggerty, Chair

The above Resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in San Francisco, California and at other remote locations on June 24, 2020.

Date: June 24, 2020  
W.I.: 1310  
Referred by: PAC

Attachment A  
MTC Resolution No. 4416  
Page 1 of 16



METROPOLITAN  
TRANSPORTATION  
COMMISSION

# **Lifeline Transportation Program Cycle 6 Guidelines**

June 2020

**METROPOLITAN TRANSPORTATION COMMISSION**



**LIFELINE TRANSPORTATION PROGRAM CYCLE 6 GUIDELINES  
FY 2019 AND FY 2020**

June 2020

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**METROPOLITAN TRANSPORTATION COMMISSION  
LIFELINE TRANSPORTATION PROGRAM CYCLE 6 GUIDELINES  
FY 2019 AND FY 2020**

June 2020

1. **PROGRAM GOAL.** The Lifeline Transportation Program is intended to fund projects that result in improved mobility for low-income residents of the nine San Francisco Bay Area counties.

The Lifeline Program supports community-based transportation projects that:

- Are developed through a collaborative and inclusive planning process that engages a broad range of stakeholders such as public agencies, transit operators, community-based organizations and residents, and outreach to underrepresented communities.
- Improve a range of transportation choices by adding new or expanded services including but not limited to: enhanced fixed route transit services, first-and last-mile shuttles, taxi voucher programs, and other eligible projects.
- Address transportation gaps and/or barriers identified in Community-Based Transportation Plans (CBTP) or other substantive local planning efforts involving focused outreach to low-income populations such as countywide or regional welfare-to-work transportation plans, the Coordinated Public Transit-Human Services Transportation Plan or other documented assessment of need. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable. A map of communities of concern (CoC) is included in the Equity Analysis Report for Plan Bay Area 2040, which is available at: [http://2040.planbayarea.org/sites/default/files/2017-07/Equity\\_Report\\_PBA%202040%20\\_7-2017.pdf](http://2040.planbayarea.org/sites/default/files/2017-07/Equity_Report_PBA%202040%20_7-2017.pdf)

2. **PROGRAM ADMINISTRATION.** The Lifeline Program will be administered by MTC in coordination with transit agencies, county transportation agencies (CTAs) or other designated county-wide agencies as follows:
  - a. **Role of the Transit Agency/Operator.** Transit agencies may submit application(s) and propose projects for Lifeline Cycle 6 funding. Board action is required.
  - b. **Role of the CTA.** MTC staff may engage CTA staff to advise and ensure projects are consistent with the Community Based Transportation Plans, MTC Coordinated Plan, county and local plans. No board action is required.
3. **FUNDING APPORTIONMENT AND AVAILABILITY.** The fund source for the Cycle 6 Lifeline Transportation Program is Federal Transit Administration (FTA) Section 5307 Urbanized Area Formula<sup>1</sup> funds. Cycle 6 will cover a two-year programming cycle, FY2018-19 and FY2019-20.

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<sup>1</sup> The Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) federal transportation authorizing legislation eliminated the FTA Job Access and Reverse Commute (JARC) program (Section 5316) and combined JARC functions and funding with the Urbanized Area Formula (Section 5307) and the Non-urbanized Area Formula (Section 5311) programs. JARC projects were

a. Funding for FTA Section 5307 is apportioned to urbanized areas. The Cycle 6 distribution assigns funding to transit operators first on urbanized area eligibility, and then based on a 50/50 distribution formula of:

- (1) Fifty percent (50%) low-income ridership estimates. A transit agency's estimated low-income ridership is calculated by the transit agency's total ridership (FTA National Transit Data, 2018) multiplied by the percent of ridership that is low-income (from the 2012-2017 MTC On-Board Transit Passenger Demographic Surveys).
- (2) Fifty percent (50%) Community of Concern (CoC) population shares. Source: Total population for transit service area (FTA National Transit Data, 2018) and percent of full transit service area that is within a Community of Concern (MTC Resolution No. 4217, 2012-2016 ACS, 5-year tract level data (See Figure 1)).<sup>2</sup> MTC will assign funds to eligible projects to transit operators. See Section 5 for details about FTA Section 5307 programming process and Appendix 1 for detailed eligibility requirements.

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made eligible for 5307 funding, and, consistent with MTC's Transit Capital Priorities (TCP) Process and Criteria (MTC Resolution No. 4242), in FY2016-17 and FY2019-20 Section 5307 programs, a portion of the Bay Area's urbanized area funds have been set aside for the Lifeline program.

<sup>2</sup> FTA Section 5307 funds are apportioned by transit operator.

**Figure 1. Lifeline Cycle 6 – Share of Regional Low-Income Ridership Estimate and 50/50 Distribution of Low-Income Ridership Estimate and Community of Concern Population Shares**

<i>Operator<sup>1</sup></i>	<i>Share of Regional Low- Income Ridership Estimate<sup>2</sup></i>	<i>Operator Percent Low-Income Ridership Estimate<sup>3</sup> (50% Distribution)</i>	<i>CoC Population Served as Share of Service Area Population<sup>4</sup> (50% Distribution)</i>
Alameda-Contra Costa Transit District (AC Transit)	23.1%	49.0%	28.3%
San Francisco Bay Area Rapid Transit District (BART)	16.9%	14.7%	26.8%
Central Contra Costa Transit Authority (CCCTA)	1.1%	34.1%	4.5%
Fairfield and Suisun Transit (FAST)	.3%	37.5%	34.0%
Golden Gate Bridge, Highway, and Transportation District – Bus Service (GGBHTD)	.4%	8.5%	12.3%
Livermore-Amador Valley Transit Authority (LAVTA)	.6%	37.1%	1.6%
Marin Transit	1.0%	35.5%	3.8%
Napa VINE	.4%	40.4%	23.5%
Petaluma Transit	.2%	53.1%	100.0%
San Mateo County Transit District (SamTrans)	4.1%	38.7%	16.9%
San Francisco Municipal Transportation Agency (SFMTA)	40.4%	20.1%	24.1%
Santa Rosa CityBus	1.0%	61.6%	23.8%
Solano County Transit (SolTrans)	.5%	37.2%	32.4%

<i>Operator<sup>1</sup></i>	<i>Share of Regional Low- Income Ridership Estimate<sup>2</sup></i>	<i>Operator Percent Low-Income Ridership Estimate<sup>3</sup> (50% Distribution)</i>	<i>CoC Population Served as Share of Service Area Population<sup>4</sup> (50% Distribution)</i>
Sonoma County Transit	.5%	56.8%	12.4%
Eastern Contra Costa Transit Authority (Tri Delta Transit)	.8%	38.4%	28.7%
Union City Transit	.1%	42.4%	10.5%
Vacaville – City Coach	.1%	31.7%	6.7%
Western Contra Costa Transportation Authority (WestCAT)	.2%	16.1%	24.6%
Santa Clara Valley Transportation Authority (VTA)	8.4%	25.2%	16.1%
<b>TOTAL</b>	<b>100%</b>	<b>N/A</b>	<b>N/A</b>

- (1) Transit operators listed represent agencies that are eligible to receive FTA Section 5307 for both fiscal years based on urbanized area eligibility and transit service category.
- (2) “Share of Regional Low Income Ridership” percentage is based on low-income ridership estimates from the most recent MTC On-Board Transit Passenger Demographic Surveys, 2012-2017. Consistent with past Lifeline Transportation program funding rounds, Cycle 6 does not include commuter rail and ferry service due to traditionally minimal low-income ridership thresholds. As ridership demographics change over time and services such as the Sonoma Marin Area Rail Transit have commenced new service, staff intends to revisit this policy element for future Lifeline funding rounds.
- (3) Fifty percent (50%) low-income ridership estimates. A transit agency’s estimated low-income ridership is calculated by the transit agency’s total ridership (FTA National Transit Data, 2018) multiplied by the percent of ridership that is low-income (from the 2012-2017 MTC On-Board Transit Passenger Demographic Surveys).
- (4) Fifty percent (50%) Community of Concern (CoC) population shares. Source: Total population for transit service area (FTA National Transit Data, 2018) and percent of full transit service area that is within a Community of Concern (MTC Resolution No. 4217, 2012-2016 ACS, 5-year tract level data (See Figure 1). MTC will assign funds to eligible projects to transit operators. See Section 5 for details about FTA Section 5307 programming process and Appendix 1 for detailed eligibility requirements.

b. Local Fund Exchanges. Consistent with MTC Resolution No. 3331, MTC will allow transit operators to use local fund exchanges to fund projects that are not otherwise eligible for federal funds in Cycle 6. MTC staff is supportive of these fund exchanges to the extent that the exchange projects meet the spirit of the Lifeline Transportation Program. In the event that a transit operator is unable to identify a Lifeline eligible project for the FTA Section 5307 funds, the operator may request to have the funds transferred to another operator or return funds to MTC for redistribution to other operators. Transit operators must notify MTC about their intent to

exchange, transfer or return funds, and MTC staff will review and may approve the requests on a case-by-case basis.

4. FTA SECTION 5307 ELIGIBLE RECIPIENTS/SUBRECIPIENTS.

Transit operators that are FTA grantees are the only eligible recipients of FTA Section 5307 funds.

Non-profit organizations and public agencies that are not FTA grantees are only eligible for Section 5307 funds if they partner with an FTA grantee (transit operator) that is willing to serve as the direct recipient of the Section 5307 funds and pass through the funds to the sub recipient non-profit or public agency.

Section 5307 recipients/sub recipients will be required to have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and provide it during the application process.<sup>3</sup> A DUNS number may be obtained from D&B by telephone (866-705-5711) or the Internet (<http://fedgov.dnb.com/webform>).

5. PUBLIC PARTICIPATION. For FTA Section 5307 funds, MTC staff will be soliciting applications from the transit operators for the Lifeline Transportation Program.

Consistent with MTC's Public Participation Plan and FTA's Title VI Circular (FTA C 4702.1B), MTC encourages transit operators to conduct a broad, inclusive public involvement process, and use multiple methods of public outreach in identifying Lifeline projects. Funds in the Cycle 6 program are restricted to transit operators (see Section 4 for recipient eligibility restrictions). Therefore, MTC also acknowledges that each transit operator public outreach strategy will be tailored accordingly.

Further guidance for public involvement is contained in MTC's Public Participation Plan. Additionally, a list of Caltrans best practices for community engagement can be accessed through the Caltrans Final Sustainable Communities Grant Guide at:

[http://www.dot.ca.gov/hq/tpp/grants/1718/1\\_14SEP17\\_FinalSustainableCommunitiesGrantGuideFY2017-18.pdf](http://www.dot.ca.gov/hq/tpp/grants/1718/1_14SEP17_FinalSustainableCommunitiesGrantGuideFY2017-18.pdf)

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<sup>3</sup> A Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a unique, non-indicative 9-digit identifier issued and maintained by D&B that verifies the existence of a business entity. The DUNS number is a universal identifier required for Federal financial assistance applicants, as well as recipients and their direct sub-recipients.

## 6. ELIGIBLE ACTIVITIES.

- a. Eligible operating projects. Eligible operating projects include (but are not limited to) new or enhanced fixed route transit services, restoration of Lifeline-related transit services eliminated due to budget shortfalls, shuttles, taxi voucher programs, auto loan programs, etc. See Appendix 1 for additional details about eligibility by funding source. Eligible operating projects are different for large and small urbanized areas (UZAs). Refer to FTA Section 5307 Circular (FTA C9030.1E).

(1) General Eligibility. In an effort to address the sustainability of fixed-route transit operations, transit operators may elect to allocate some or all of their Section 5307 funds directly for Lifeline transit operations within the county. Projects must be identified as Lifeline projects before transit operators can claim funds, and will be subject to Lifeline Transportation Program reporting requirements.

- b. Eligible capital projects. Eligible capital projects, consistent with requirements of funding sources, may include (but are not limited to) purchase of vehicles; bus stop enhancements; rehabilitation, safety or modernization improvements; or other enhancements to improve transportation access for residents of low-income communities. See Appendix 1 for additional details about eligibility by funding source.

c. FTA Section 5307 restrictions

(1) Job Access and Reverse Commute requirement. For the Lifeline Transportation Program, the use of FTA Section 5307 funds is restricted solely to Job Access and Reverse Commute (JARC) -type projects. For details regarding eligible FTA Section 5307 JARC-type projects, see the FTA Section 5307 Circular (FTA C 9030.1E), Chapter IV, Section 5 available at: [https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FINAL\\_FTA\\_circular9030.1E.pdf](https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FINAL_FTA_circular9030.1E.pdf)  
Also see Appendix 1 for detailed eligibility requirements by fund source.

(2) New and existing services. Consistent with the FTA Section 5307 circular (FTA C 9030.1E), Chapter IV, Section 5.a, eligible job access and reverse commute projects must provide for the development or maintenance of eligible job access and reverse commute services. Recipients may not reclassify existing public transportation services that have not received funding under the former Section 5316 program as job access and reverse commute services in order to qualify for operating assistance. In order to be eligible as a job access and reverse commute project, a proposed project must qualify as either a “development project” or “maintenance project” as follows:

- i. Development Projects. “Development of transportation services” means new projects that meet the statutory definition and were not in service as of the date Fixing America’s Surface Transportation (FAST) Act, became effective December 4, 2015. This includes projects that expand the service area or hours of operation for an existing service.

- ii. Maintenance Projects. “Maintenance of transportation services” means projects that continue and maintain job access and reverse commute projects and services that received funding under the former Section 5316 Job Access and Reverse Commute program.

7. LOCAL MATCH REQUIREMENTS. The Lifeline Transportation Program requires a minimum local match of 20% of the total project cost. Lifeline Transportation Program funds may cover a maximum of 80% of the total project cost.

- a. Exceptions to 20% requirement. There are two exceptions to the 20% local match requirement:

- (1) FTA Section 5307 operating projects require a 50% match.

- (2) All auto-related projects require a 50% match.

- b. Sources of local match. Project sponsors may use certain federal, state or local funding sources (Transportation Development Act, operator controlled State Transit Assistance, local sales tax revenue, etc.) to meet the match requirement. In-kind contributions such as the market value of in-kind contributions integral to the project may be counted as a contribution toward local share.

For FTA Section 5307 projects, the local match can be *non*-Department of Transportation (DOT) federal funds. Eligible sources of non-DOT federal funds include: Temporary Assistance to Needy Families (TANF), Community Services Block Grants (CSBG) and Social Services Block Grants (SSBG) administered by the US Department of Health and Human Services or Community Development Block grants (CDBG) and HOPE VI grants administered by the US Department of Housing and Urban Development (HUD). Grant funds from private foundations may also be used to meet the match requirement.

Transportation Development Credits (“Toll Credits”) are not an eligible source of local match for the Lifeline Transportation Program.

8. COORDINATED PLANNING. Under FAST Act, projects funded with Section 5307 funds are no longer required by FTA to be derived from a locally developed, coordinated public transit-human services transportation plan (“Coordinated Plan”); however, in the Bay Area’s Coordinated Plan, MTC continues to identify the transportation needs of individuals with disabilities, older adults, *and* people with low incomes, and to provide strategies for meeting those local needs. Therefore, projects funded with Lifeline Transportation Program funds should be consistent with the transportation needs, proposed solutions, and enhanced coordination strategies presented in the Coordinated Plan to the extent practicable considering any other funding source restrictions. The Bay Area’s Coordinated Plan was updated in February 2018 and is available at:

[https://mtc.ca.gov/sites/default/files/MTC\\_Coordinated\\_Plan.pdf](https://mtc.ca.gov/sites/default/files/MTC_Coordinated_Plan.pdf)

- a. Mobility management. Mobility management was a key coordination strategy recommended in the 2018 plan. The designation of lead mobility managers or Consolidated Transportation Service Agencies (CTSAs) at the County or sub regional level is an essential component of that strategy. Consistent with those recommendations, MTC may, choose to give priority to—projects



sponsored by or coordinated with County or sub regional Mobility Managers or CTAs. If mobility management projects are not identified as part of the Program of Projects, provide explanation and justification.

Transportation needs specific to senior and disabled residents of low-income communities may also be considered when funding Lifeline projects.

9. GRANT APPLICATION. To ensure a streamlined application process for project sponsors, a universal application form will be used. Transit operators with multi-county projects must notify the relevant CTA Lifeline Program Administrators about their intent to submit a multi-county project. Once MTC receives the application, MTC may send the application to the CTAs. MTC will coordinate with associated CTAs to assess multi-county projects and the associated program of projects submitted by transit operators.

10. APPLICATION EVALUATION SCREENING.

Project will be evaluated based on meeting eligibility requirements outlined in Sections 6 – 9, evaluation screening criteria, and county goal alignment. Standard screening criteria will be used to assess projects. The six criteria include (1) project need/goals and objectives, (2) community-identified priority and county plans, (3) implementation plan and project management capacity, (4) coordination and program outreach, (5) cost-effectiveness and performance indicators, and (6) project budget/sustainability. MTC will establish the weight to be assigned for each criterion in the assessment process.

See Appendix 2 for the detailed standard screening criteria.

11. TRANSIT OPERATOR PROGRAM OF PROJECTS. A full program of projects is due to MTC from each transit operator based on the timeline outlined in Section 18. MTC will provide the transit operator program of projects to the associated CTA Lifeline Program Administrator.

12. POLICY BOARD ADOPTION.

- a. Transit Operator Board Resolution and Concurrence. Prior to MTC's programming of Lifeline Cycle 6 funds (FTA Section 5307) to any project, MTC requires that the transit operator adopt and submit a resolution of local support. The resolution shall state that approved projects not only exemplify Lifeline Program goals, but that the local project sponsors understand and agree to meeting all project delivery, funding match and eligibility requirements, and obligation and reporting deadlines and requirements. MTC will provide a resolution template. MTC has the option of collecting the resolutions of local support from transit operators along with the project applications, or after the project is selected by MTC for funding.

13. PROJECT DELIVERY. All projects funded under the transit operator programs are subject to the following MTC project delivery requirements:

Project sponsors must expend the Lifeline Transportation Program Section 5307 funds within three years of the FTA grant award or execution of agreement with pass-through agency, whichever is applicable. To prevent the Section 5307 funds from lapsing on the federal obligation deadline, MTC

reserves the right to reprogram funds if direct recipients fail to submit their FTA grant by the following dates:

- August 2023 for FY2018-19 funds
- August 2024 for FY2019-20 funds

Project sponsor are encouraged to submit grant applications at least 90 days prior to the close of FTA's Transit Award Management System (TrAMS) due to the time need for application review by USDOT and the US Department of Labor prior to any grants being awarded. Direct recipients are responsible for carrying out the terms of their grants.

14. PROJECT OVERSIGHT. Transit operators are responsible for meeting the MTC obligation deadlines and project delivery requirements. In addition, transit operators will carry out the scope described in the grant applications for the period of performance. All project budget and scope of work changes must be approved by the MTC Commission; however transit operators are responsible for approving budget and scope of work changes prior to MTC's authorization. Transit operators will work with CTA Lifeline Program Administrators and MTC on proposed changes. All scope changes must be fully explained and must demonstrate consistency with Lifeline Transportation Program goals.

See Appendix 1 for detailed accountability and reporting requirements by funding source.

15. PERFORMANCE MEASURES. As part of the Call for Projects, applicants will be asked to establish project goals, and to identify basic performance indicators to be collected in order to measure the effectiveness of the Lifeline projects. At a minimum, performance measures for service-related projects would include: documentation of new "units" of service provided with the funding (e.g., number of trips, service hours, workshops held, car loans provided), cost per unit of service, and a qualitative summary of service delivery procedures employed for the project. For capital projects, project sponsors are responsible for establishing milestones and reporting on the status of project delivery. Project sponsors are responsible for satisfying all reporting requirements, as referenced in Appendix 1. Transit operators will forward all reports containing performance measures to MTC for review and overall monitoring of the Lifeline Transportation Program.

16. FTA SECTION 5307 FUND ADMINISTRATION.

Project sponsors are responsible for entering projects into MTC's Fund Management System for inclusion in the Transportation Improvement Program (TIP). Transit operators that are FTA grantees are the only eligible recipients of Section 5307 funds. FTA grantees will act as direct recipients, and will submit grant applications directly to FTA.

For projects funded with FTA Section 5307 funds that are sponsored by non-FTA grantees (e.g., nonprofits or other local government entities), the FTA grantee who was identified as the partner agency at the time of the application will submit the grant application to FTA directly and, following FTA approval of the grant, will enter into funding agreements with the sub recipient project sponsor.

FTA recipients are responsible for following all applicable federal requirements and for ensuring that their sub recipients comply with all federal requirements. See Section 18 for federal compliance requirements.

**17. COMPLIANCE WITH FEDERAL REQUIREMENTS – Transit Operator Responsibilities**

FTA Section 5307 applicants should be prepared to abide by all applicable federal requirements as specified in 49 U.S.C. Section 5307; FTA Circulars C 9030.1E, 4702.1B and 4703.1; the most current FTA Master Agreement; and the most current Certifications and Assurances for FTA Assistance Programs.

FTA Section 5307 direct recipients will be responsible for adhering to FTA requirements through their agreements and grants with FTA directly and for ensuring that all sub recipients and third-party contractors comply with FTA requirements.

**18. FUTURE PROGRAM CONSIDERATIONS.** These guidelines apply for the purposes of this programming cycle only. Future programs and funding formulas would be subject to revisiting under the following conditions, for example:

- Changes in mix of fund sources for the Lifeline Transportation Program
- Changes in the mix of transit operators in the region
- Changes in ridership demographics and services commenced over time
- Updated data and changes to the definition of Communities of Concern
- Evaluation and experience from this cycle does not meet the intent of the Lifeline Transportation Program.

**19. TIMELINE.** The anticipated timeline for Cycle 6 is as follows:

<b>Action</b>	<b>Anticipated Date*</b>
Commission approves Cycle 6 Program Guidelines	June 24, 2020
MTC approves TIP amendment (administrative modification)	June 24, 2020
MTC issues guidelines to transit operators	June 30, 2020
Transit Operator Board-approved** programs due to MTC from Transit Operator	July/August 2020
<b>MTC Commission approval of Program of Projects</b>	<b>September 2020</b>
FTA grantees can submit FTA grants for FY19 and FY20 funds (after all Board approvals completed)	October 2020

\* Dates subject to change depending on Federal deadlines and availability of funds.

\*\* Transit Operator Board approval and concurrence may be pending at the time of deadline.

**Appendix 1**  
**Lifeline Transportation Program Cycle 6**  
**Funding Source Information**

	FTA Section 5307
Purpose of Fund Source	<b>To support the continuation and expansion of public transportation services in the United States</b>
Detailed Guidelines	<a href="https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FINAL_FTA_circular9030.1E.pdf">https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FINAL_FTA_circular9030.1E.pdf</a>
Use of Funds	For the Lifeline Transportation Program, the use of FTA Section 5307 funds is restricted solely to Job Access and Reverse Commute-type projects that support the development and maintenance of transportation services designed to transport welfare recipients and eligible low income individuals to and from jobs and activities related to their employment
Eligible Recipients	<ul style="list-style-type: none"> <li>▪ Transit operators that are FTA grantees</li> </ul>
Eligible Sub-recipients ( <b>must partner with an eligible recipient that will serve as a pass-through agency</b> )	<ul style="list-style-type: none"> <li>▪ Private non-profit organizations</li> <li>▪ Public agencies that are not FTA grantees (e.g., cities, counties)</li> </ul>

	FTA Section 5307
Eligible Projects	<p><u>New and existing services.</u> Eligible job access and reverse commute projects must provide for the development or maintenance of eligible job access and reverse commute services. Recipients may not reclassify existing public transportation services that have not received funding under the former Section 5316 program as job access and reverse commute services in order to qualify for operating assistance. In order to be eligible as a job access and reverse commute project, a proposed project must qualify as either a “development project” or a “maintenance project” (see Section 7.c.(2) of these guidelines for details regarding “development” and “maintenance” projects).</p> <p><u>Capital and Operating projects.</u> Projects that comply with the requirements above may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>▪ Late-night &amp; weekend service;</li> <li>▪ Guaranteed ride home service;</li> <li>▪ Shuttle service;</li> <li>▪ Expanding fixed route public transit routes, including hours of service or coverage;</li> <li>▪ Demand-responsive van service;</li> <li>▪ Ridesharing and carpooling activities;</li> <li>▪ Transit-related aspects of bicycling;</li> <li>▪ Administration and expenses for voucher programs;</li> <li>▪ Local car loan programs;</li> <li>▪ Intelligent Transportation Systems (ITS);</li> <li>▪ Marketing; and</li> <li>▪ Mobility management.</li> </ul> <p>See FTA C 9030.1E, Chapter IV, Section 5307 for details regarding eligible projects.</p>

FTA Section 5307		
Lifeline Program Local Match	20%	<ul style="list-style-type: none"> <li>▪ 50% for operating projects (may use STA funds to cover up to 30% if project is eligible for <b>both</b> JARC and STA)</li> <li>▪ 50% for auto projects</li> <li>▪ 20% for planning and capital projects</li> </ul>
Estimated timing for availability of funds to transit operator	<p>Transit operators, CTSA's and eligible cities and counties can initiate claims for FY18 and FY19 funds immediately following MTC approval of program of projects.</p> <p>For sub recipients, the eligible recipient acting as fiscal agent will likely initiate a funding agreement following MTC approval of program of projects. Funds will be available on a reimbursement basis after execution of the agreement.</p>	<p>Following MTC approval of the program of projects, project sponsor will submit project in FMS for inclusion in the TIP. Following Federal TIP approval, FTA grantees must submit FTA grants.</p> <p>FTA grantees can begin their projects after the funds are obligated in an FTA grant. For sub recipients, the FTA grantee acting as fiscal agent will likely initiate a funding agreement following FTA grant award. Funds will be available on a reimbursement basis after execution of the agreement.</p>
Accountability & Reporting Requirements	<p>Transit operators and eligible cities and counties must submit annual performance (i.e., ridership) statistics for the project, first to MTC for review, and then to MTC along with annual claim.</p> <p>Depending on the arrangement with the pass-through agency, sub recipients will likely submit quarterly performance reports with invoices, first to the pass-through agency for reimbursement, and then to MTC for review.</p>	<p>FTA grantees are responsible for following all applicable federal requirements for preparing and maintaining their Section 5307 grants. MTC may request copies of FTA grantees' quarterly Section 5307 grant reports to FTA.</p> <p>Depending on the arrangement with the pass-through agency, sub recipients will likely submit quarterly performance reports with invoices, first to MTC for review, and then to the pass-through agency for reimbursement. Sub recipients will also submit Title VI reports annually to the pass-through agency.</p>

**Note:** Information on this chart is accurate as of April 2020. MTC will strive to make transit operators aware of any changes to fund source guidelines that may be enacted by the appropriating agencies (i.e. State of California, Federal Transit Administration).

## Appendix 2 Lifeline Transportation Program Cycle 6 Standard Evaluation Screening Criteria

The following standard evaluation screening criteria are intended to provide consistent guidance to transit operators in submitting projects to receive Lifeline Transportation Program funds. Each transit operator, will consider these screening criteria when submitting applications for projects.

- a. Project Need/Goals and Objectives – Serves Low-Income Communities/Residents:** Applicants should describe the unmet transportation need or gap that the proposed project seeks to address and the relevant planning effort that documents the need. Describe how project activities will mitigate the transportation need. Capital or operations projects (sponsored by public transit operators or in partnership with non-profits or cities) that support and augment but are not traditional fixed route projects may be given extra points under this criteria. Project application should clearly state the overall program goals and objectives, and demonstrate how the project is consistent with the goals of the Lifeline Transportation Program.
- b. Community-Identified Priority and County Plans:** Priority should be given to projects that directly address transportation gaps and/or barriers identified through a Community-Based Transportation Plan (CBTP) or other substantive local planning effort involving focused inclusive engagement to low-income populations. Applicants should identify the CBTP or other substantive local planning effort, as well as the priority given to the project in the plan. MTC will coordinate with CTAs to assess project consistency with County Plans.

Other projects may also be considered, such as those that address transportation needs identified in countywide or regional welfare-to-work transportation plans, the Coordinated Public Transit-Human Services Transportation Plan, or other documented assessment of needs within designated communities of concern. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable. A map of communities of concern (CoC) is included in the Equity Analysis Report for Plan Bay Area 2040, which is available at [http://2040.planbayarea.org/sites/default/files/2017-07/Equity\\_Report\\_PBA%202040%207-2017.pdf](http://2040.planbayarea.org/sites/default/files/2017-07/Equity_Report_PBA%202040%207-2017.pdf)

- c. Implementation Plan and Project Management Capacity:** For projects seeking funds to support program operations, applicants must provide a well-defined service operations plan, and describe implementation steps and timelines for carrying out the plan.

For projects seeking funds for capital purposes, applicants must provide an implementation plan, milestones and timelines for completing the project.

Priority should be given to projects that are ready to be implemented in the timeframe that the funding is available.

Project sponsors should describe and provide evidence of their organization's ability to provide and manage the proposed project, including experience providing services for low-income persons, and experience as a recipient of state or federal transportation funds. For continuation projects that have previously received Lifeline funding, project sponsor should describe project progress and outcomes.

- d. Coordination and Program Outreach:** Projects will be screened based on their ability to coordinate with other community transportation and/or social service resources. Applicants should clearly identify project stakeholders, and how they will keep stakeholders involved and informed throughout the project. Applicants should also describe how the project will be marketed and promoted to the public.
- e. Cost-Effectiveness and Performance Indicators:** The project will be screened based on the applicant's ability to demonstrate that the project is the most appropriate way in which to address the identified transportation need, and is a cost-effective approach. Applicants must also identify clear, measurable outcome-based performance measures to track the effectiveness of the service in meeting the identified goals. A plan should be provided for ongoing monitoring and evaluation of the service, as well as steps to be taken if original goals are not achieved.
- f. Project Budget/Sustainability:** Applicants must submit a clearly defined project budget, indicating anticipated project expenditures and revenues, including documentation of matching funds. Proposals should address long-term efforts and identify potential funding sources for sustaining the project beyond the grant period.



# APPENDIX A – 29

## *Regional Policies: Project Funding and Specific Funding Programs*

**MTC's Lifeline Transportation Cycle 6  
Program of Projects for FY 2018-19 and FY 2019-20**

**MTC Resolution No. 4446**



Date: October 28, 2020  
W.I.: 1311  
Referred by: PAC

ABSTRACT

Resolution No. 4446

This resolution adopts the FY2018-19 through FY2019-20 Program of Projects for MTC's Cycle 6 Lifeline Transportation Program, funded with FTA Section 5307 Urbanized Area funds.

The evaluation criteria established in Resolution No. 4416 were used to develop the program of projects.

The following attachments are provided with this resolution:

Attachment A — Cycle 6 Lifeline Transportation Program of Projects -  
FY2018 - 19 and FY2019 - 20

Further discussion of this action is contained in the Programming and Allocations Committee summary sheet dated October 14, 2020, and the MTC Commission Summary Sheet dated October 28, 2020.

Date: October 28, 2020  
W.I.: 1311  
Referred by: PAC

RE: Cycle 6 Lifeline Transportation Program of Projects – FY2018-19 and FY2019-20

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4446

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code § 66500 et seq.; and

WHEREAS, MTC adopted Resolution No. 4416, which establishes program guidelines to be used for the funding and oversight of the Cycle 6 Lifeline Transportation Program, Fiscal Years 2018-19 and 2019-20; and

WHEREAS, MTC used the process and criteria set forth in Attachment A of Resolution No. 4416 to fund a Program of Projects for the Cycle 6 Lifeline Transportation Program with Section 5307 Urbanized Area funds; and

WHEREAS, the Cycle 6 Lifeline Transportation Program of Projects is set forth in Attachment A of this resolution, attached hereto and incorporated herein as though set forth at length; now therefore be it

RESOLVED, that MTC approves the Program of Projects for the Cycle 6 Lifeline Transportation Program, as set forth in Attachment A of this resolution; and be it further

RESOLVED, that the Executive Director shall forward a copy of this resolution, and such other information as may be required, to the Governor, Caltrans, and to such other agencies as may be appropriate.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Scott Haggerty, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in San Francisco, California and at other remote locations, on October 28, 2020.

**Revised Cycle 6 Lifeline Transportation Program of Projects (FY2018-19 and FY2019-20)**

#	Transit Operator	Project	Other Project Sponsor	Project Description	5307			Notes
					TOTAL Available Funding	Programmed	Unprogrammed Balance	
1	AC Transit	Preservation of Existing Services in Communities of Concern	n/a	The funds will be used to continue and improve transit service to several key MTC Communities of Concern in Alameda County and Contra Costa counties. The three routes in the project (Routes 36,76,86) provide services to approximately 1.5 million passengers annually to and from areas in low-income communities. The communities that the project serves have a high concentration of minority populations that speak limited English, an average of 16 percent of total households do not own a car, and therefore rely on alternative means of transportation to get to and from their daily destinations. This project is estimated to serve 2,933 low income persons daily, 267,667 low income persons quarterly and 1,070,669 low income persons yearly.	1,026,784	1,026,784	0	(2)
2		Line 97	Union City Transit	Lifeline funds will be utilized to continue bus service for Line 97 serving Union City BART.		12,674	0	(1)
3	BART	Embarcadero Station Platform Elevator Capacity and Redundancy Project	n/a	This project will purchase and install a new redundant elevator at the North end (exit towards Ferry Building) of the Embarcadero BART/Muni Station to improve mobility and access for customers. The Embarcadero BART/Muni Station is in the City and County of San Francisco, a regional hub for employment. Hence, the station serves a diverse population, including Communities of Concern, who travel to and from jobs and activities related to employment. The new elevator at this station will primarily serve BART's platform; however, the elevator will also be able to stop at the Muni platform. The design vision includes a glass enclosed cab and hoistway to increase visual transparency. The scope of work also includes refurbishing Muni's elevator, which will exclusively provide access to Muni's platform once the project is complete. In addition, both the North and South end of station stairs will be rebuilt wider.	1,172,942	1,172,942	0	(2)
4	Central Contra Costa Transit Authority	Lifeline Service Preservation	n/a	The Lifeline funds will be utilized to continue service to Communities of Concern in the Central portions of Contra Costa County. These include routes 11, 14 ,16 ,18 ,19, 311, 314, and 316.	83,785	83,785	0	(2)
5	Eastern Contra Costa Transit Authority (Tri Delta Transit)	Operations Funding for Routes Support for Route 200 and 201	n/a	Provision of lifeline, public transit bus service between Bay Point, a community of concern, and Central County (Route 200) and Concord (Route 201) lifeline destinations. Service includes fixed route and adjunct ADA services.	199,621	199,621	0	
6	Fairfield and Suisun Transit	Partial Restoration of Local and Commuter Saturday Service	City of Vacaville	This project will help offset expenses to reinstate Saturday service on Fairfield and Suisun Transit (FAST) local routes and the Solano Express Blue Line eliminated due to a significant drop off in ridership and fare revenue during the COVID-19 pandemic.	246,299	246,299	0	
7	Vacaville - City Coach	Partial Restoration of Local and Commuter Saturday Service	FAST/City of Vacaville	This project will help offset expenses to reinstate Saturday service on Fairfield and Suisun Transit (FAST) local routes and the Solano Express Blue Line eliminated due to a significant drop off in ridership and fare revenue during the COVID-19 pandemic.	106,929	106,929	0	
8	Golden Gate Bridge, Highway and Transportation District - Bus Service	Golden Gate Transit Ambassador Program	n/a	Golden Gate Transit will implement a Transit Ambassador Program, which includes the strengthened regional provision of District-specific transit information to riders from low-income neighborhoods and three Communities of Concern in Marin County.	153,491	138,491	0	
9		Joint Shelter Replacement Project	Marin Transit	Fund transfer from GGBHTD to Marin Transit for a joint shelter replacement project at stops in a community of concern in Novato.		15,000		(3)
10	Livermore Amador Valley Transit Authority	Route 14 Operating Assistance	n/a	Wheels' Route 14 provides service between the North Livermore Low Income Community and a variety of essential destinations including shopping, employment, healthcare, and direct regional rail connections via the Livermore Transit Center/ACE station and Dublin/Pleasanton BART station. Funding would support the project's continued operation from 7/1/2020 through 6/30/2022.	94,183	94,183	0	
11	Marin County Transit District	Novato Bus Stop Shelters	n/a	Purchase bus stop shelters at high ridership stops in Novato that no longer have City advertising shelters. The project improves rider conditions for routes serving communities of concern in the City of Novato.	33,892	33,892	0	

**Revised Cycle 6 Lifeline Transportation Program of Projects (FY2018-19 and FY2019-20)**

#	Transit Operator	Project	Other Project Sponsor	Project Description	5307			Notes
					TOTAL Available Funding	Programmed	Unprogrammed Balance	
12	Napa VINE	Riverside Pathway Connection to Downtown/Transit	City of Calistoga	The Napa Riverside Pedestrian Pathway will provide a direct, ADA compliant multiuse path along the Napa River connecting the bus stop location on Lincoln Avenue (Hwy 29) to the restrooms (in Fire Station), public parking lot, and Post Office to the east. The project will benefit residents as well as visitors and transit riders.	156,657	62,657	0	(2)
13		Pope St. Pedestrian Crossing Improvement	City of Helena	The project includes the design and installation of a rectangular rapid flashing beacon system (or equivalent) on Pope Street at College Avenue; four ADA compliant curb ramps, and continental crosswalk markings on Pope St. at College Ave. Enhancing the crossing at Pope St. and College will improve access and safety for the transit stops serving both schools and for nearby seniors accessing those stops.		94,000		
14	Petaluma Transit	Petaluma Transit Weekend Service	City of Petaluma	Petaluma Transit seeks funding to continue providing fixed route bus and paratransit service on Saturday and Sunday for one year, in order to meet the needs of riders who have employment and other weekend travel needs.	54,789	54,789	0	(2)
15	San Mateo County Transit District	Route 17 and Demand Response Service on the Coastside	n/a	This project will continue funding the operation of existing Lifeline funded fixed route bus service for SamTrans Route 17 and general public demand response service on the Coastside of San Mateo County. Route 17 operates between the hours of 6 am and 9pm seven days a week with general public demand response service operating during the same hours. The route extends from the Linda Mar Park and Ride lot in the North, through Montara, El Granada, and Half Moon Bay before ending in Pescadero to the south.	262,751	262,751	0	
16	Santa Rosa CityBus	Continuing Lifeline Route Operations	n/a	Funding for this project will provide continued operations of the City of Santa Rosa's CityBus Lifeline Routes (Routes 2, 2B, 3, and 12) that service the Roseland Community of Concern area in the City of Santa Rosa.	203,782	203,782	0	
17	San Francisco Municipal Transportation Agency	Essential Trip Card Program	n/a	The Essential Trip Card (ETC) is a discount program to help seniors and people with disabilities make essential trips in taxis. The program uses taxis to take people to the grocery store, pharmacy or medical trips. Customers pay \$12 to receive \$60 value for taxi trips on a debit card.	1,127,352	1,127,352	0	(2)
18	Solano County Transit	SolTrans Route 7-Maintain Lifeline Fixed Route Service	n/a	This Operating Assistance request is for maintaining SolTrans Route 7 (formerly Route 2) which operates seven days a week and provides service from Vallejo Transit Center to Northeast Vallejo and Solano Community College for low-income and transit-dependent populations.	313,451	313,451	0	(2)
19	Sonoma County Transit	Sonoma County Transit CNG Bus Purchase	n/a	Sonoma County Transit is requesting \$166,459 in JARC Lifeline funding to assist with the purchase of one compressed natural gas (CNG) transit coach. The new CNG bus will be deployed on intercity routes serving the Healdsburg, Lower Russian River and Sonoma Springs CBTP areas. The timely replacement of Sonoma County Transit's CNG buses ensures comfortable and reliable public transit service throughout the fixed-route system.	166,459	166,459	0	(2)
20	Santa Clara Valley Transportation Authority	Project(s) to be determined at a future date.			1,647,290		0	(2)

**Revised Cycle 6 Lifeline Transportation Program of Projects (FY2018-19 and FY2019-20)**

#	Transit Operator	Project	Other Project Sponsor	Project Description	5307			Notes
					TOTAL Available Funding	Programmed	Unprogrammed Balance	
21	Union City Transit	Line 97	AC Transit	Union City Transit requests transfer of funds to AC Transit for continued operations of Line 97.	12,674		0	(1)
22	Western Contra Costa Transit Authority	Purchase and install new AVL/CAD/APC System	n/a	This funding will support the purchase and installation of a complete AVL/APC system on all fixed-route vehicles within WCCTA's fleet. Once installed and activated, this system will allow WCCTA to improve its real-time information system to give riders better customer information about bus arrivals and departures.	25,311	25,311	0	
<b>Regional Grand Totals</b>					<b>Lifeline Program Revenue Source</b>	<b>Total Proposed Programming</b>	<b>Unprogrammed Balance</b>	
					7,088,442	5,441,152	1,647,290	

**Notes**

- (1) Union City Transit requests transferring \$12K to AC Transit for Line 97 project. Pending AC Transit Board action.
- (2) Projects are pending Board approval.
- (3) Projects are pending staff/Board approval for receipt of funds for Lifeline project purpose.

# APPENDIX A – 30

## *Regional Policies: Project Funding and Specific Funding Programs*

**Funding Framework for a High Speed Rail Early Investment  
Strategy for a Blended System in the Peninsula Corridor**

**MTC Resolution No. 4056**



Date: March 28, 2012  
W.I.: 1512  
Referred By: Commission

ABSTRACT

Resolution No. 4056

This resolution approves an Agreement and establishes a funding framework among MTC, the California High Speed Rail Authority (the Authority), the Peninsula Corridor Joint Powers Board (JPB), the San Francisco County Transportation Authority (SFCTA), the San Mateo County Transportation Authority (SMCTA), VTA, the City of San Jose, the City and County of San Francisco, and the Transbay Joint Powers Authority (TJPA), for a High Speed Rail Early Investment Strategy for a blended system in the Peninsula Corridor.

Further discussion of the High Speed Rail Early Investment Strategy is contained in the Executive Director's memorandum dated March 21, 2012.



Date: March 28, 2012  
W.I.: 1512  
Referred by: Commission

Re: High Speed Rail Early Investment Strategy

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4056

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code 66500 et. seq.; and

WHEREAS, the California High-Speed Rail Authority (Authority) is responsible for planning, building and maintaining an 800-mile statewide high-speed rail system and improved mobility through the development of safe, clean, reliable rail technology; and

WHEREAS, the Authority is exclusively charged with accepting grants, fees and allocations from the state, from political subdivisions of the state and from the federal government, foreign governments, and private sources; and

WHEREAS, the Authority's 2012 Business Plan proposes to incrementally develop the California High-Speed Train (HST) system utilizing a blended system approach that will coordinate the development and operations of HST with existing passenger rail systems that improves, enhances and expands the integration of high-speed and regional/local passenger rail systems; and

WHEREAS, this blended approach requires a series of incremental investments in the peninsula corridor to prepare for integrated service and operations and the Authority recognizes the need for a collaborative effort with regional and local agencies to identify early investment projects along existing rail corridors that increases service, improves safety and efficiency, and creates linkages between HST and local passenger rail service; and

WHEREAS, on December 19, 2001, MTC adopted the Regional Transit Expansion Program of Projects (Resolution 3434) which includes the Transbay Transit Center Phase 2

Downtown Extension and Caltrain Electrification projects as regional priorities for transit expansion; and

WHEREAS, MTC, the Authority, the Peninsula Corridor Joint Powers Board (JPB), the San Francisco County Transportation Authority (SFCTA), the San Mateo County Transportation Authority (SMCTA), VTA, the City of San Jose, the City and County of San Francisco, and the Transbay Joint Powers Authority (TJPA) (collectively, Parties) staff have collaboratively and in good faith prepared a Memorandum of Understanding, as set forth in Attachment A to this Resolution, attached hereto and incorporated herein as though set forth at length, that sets forth principles for developing the corridor electrification and advance signal system elements of the blended system; and

WHEREAS, all Parties are involved in the planning, funding, construction and/or operation of heavy and light rail transit, buses, and/or commuter train services in the peninsula corridor and are considering intermodal service integration, including linkages to the proposed HST service; and

WHEREAS, all Parties wish to establish a policy-level commitment of funding for the electrification and advance signal system elements of the blended system, as set forth in Attachments B and C to this Resolution, attached hereto and incorporated herein as though set forth at length; now therefore be it

RESOLVED, that MTC approves the Memorandum of Understanding for a High Speed Rail Early Investment Strategy as set forth in Attachment A and incorporated herein; and be it further

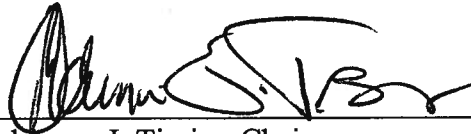
RESOLVED, that all Parties have agreed to and approve the funding plan set forth in Attachment B and incorporated herein; and be it further

RESOLVED, that the Executive Director is authorized to execute Attachment A on behalf of MTC, and to make non-substantive changes or minor amendments as deemed appropriate subject to review by MTC's Office of General Counsel for form; and, be it further

RESOLVED, that MTC agrees to provide the funds as shown in Attachment B subject to the Authority, JPB, VTA, SFCTA and BART also agrees to provide the funds as shown in Attachment B; and be it further

RESOLVED, that MTC agrees to take timely follow-up approval actions as may be necessary to allocate and program specific funding identified in Attachment B.

METROPOLITAN TRANSPORTATION COMMISSION

A handwritten signature in black ink, appearing to read 'Adrienne J. Tissier', is written over a horizontal line.

Adrienne J. Tissier, Chair

This resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on March 28, 2012.

Date: March 28, 2012  
W.I.: 1512  
Referred by: Commission

Attachment A  
Resolution No. 4056  
Page 1 of 4

## MEMORANDUM OF UNDERSTANDING

HIGH SPEED RAIL EARLY INVESTMENT STRATEGY FOR A BLENDED SYSTEM IN  
THE SAN FRANCISCO TO SAN JOSE SEGMENT KNOWN AS THE PENINSULA  
CORRIDOR OF THE STATEWIDE HIGH-SPEED RAIL SYSTEM

BY AND AMONG THE FOLLOWING PARTIES (PARTIES)

CALIFORNIA HIGH SPEED RAIL AUTHORITY (AUTHORITY)  
METROPOLITAN TRANSPORTATION COMMISSION (MTC)  
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)  
SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY (SFCTA)  
SAN MATEO COUNTY TRANSPORTATION AUTHORITY (SMCTA)  
SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA)  
CITY OF SAN JOSE  
CITY AND COUNTY OF SAN FRANCISCO  
TRANSBAY JOINT POWERS AUTHORITY (TJPA)

### Recitals

**Whereas**, the California High-Speed Rail AUTHORITY (AUTHORITY) is responsible for planning, building and maintaining an 800-mile statewide high-speed rail system and improved mobility through the development of safe, clean, reliable rail technology; and

**Whereas**, the AUTHORITY, in partnership with the Federal Railroad Administration is advancing a California High-Speed Train (HST) network that links the major metropolitan areas of the State of California utilizing corridors into and through Southern, Central and Northern California; and

**Whereas**, the AUTHORITY has responsibility for planning, construction and operation of high-speed passenger train service in California and is exclusively charged with accepting grants, fees and allocations from the state, from political subdivisions of the state and from the federal government, foreign governments, and private sources; and

**Whereas**, the AUTHORITY's 2012 Business Plan proposes to incrementally develop the HST system utilizing a blended system approach that will coordinate the development and operations of HST with existing passenger rail systems that improves, enhances and expands the integration of high-speed and regional/local passenger rail systems; and

**Whereas**, this blended approach requires a series of incremental investments in the Peninsula corridor to prepare for integrated service and operations and the AUTHORITY recognizes the need for a collaborative effort with regional and local agencies to identify early investment projects along existing rail corridors that improves service, improves safety and efficiency, and creates linkages between HST and local passenger rail service; and

**Whereas**, a blended system will remain substantially within the existing Caltrain right-of-way and will accommodate future high-speed rail and modernized Caltrain service along the Peninsula corridor by primarily utilizing the existing track configuration on the Peninsula; and

**Whereas**, this MOU is specific to project investments that upgrade existing rail service and prepare for a future high-speed train project that is limited to infrastructure necessary to support a blended system, which will primarily be a two-track system shared by both Caltrain and high-speed rail and will be designed to continue to support existing passenger and freight rail tenants; and

**Whereas**, local transportation improvement projects are required to be included in a Regional Transportation Plan (Plan), and the Metropolitan Transportation Commission, working closely with local agencies is charged with developing the Plan every four years to provide guidance for transportation investments within the Bay Area and with development of regional transportation strategies to address the needs of the San Francisco Bay Area; and

**Whereas**, on December 19, 2001, MTC adopted the Regional Transit Expansion Program of Projects (Resolution 3434) which includes the Transbay Transit Center Phase 2 Downtown Extension and Caltrain Electrification projects as regional priorities for transit expansion; and

**Whereas**, the Sustainable Communities and Climate Protection Act of 2008 (SB 375, Steinberg, Statutes of 2008) requires the Plan to include a Sustainable Communities Strategy (SCS), showing evidence of integrated planning, goals that establish and strengthen the crucial linkages between the economy, land use development and the regional transportation system to improve access to jobs, education, healthcare, and other amenities in ways that improve the overall quality of life in the Bay Area and the blended system on the Peninsula corridor in the California High-Speed Rail program are consistent with achieving SB 375 goals to reduce greenhouse gas emissions; and

**Whereas**, all Parties are involved in the planning, funding, construction and/or operation of heavy and light rail transit, buses, and/or commuter train services in the Peninsula corridor and are considering intermodal service integration, including linkages to the proposed HST service; and

**Whereas**, it is the intent and purpose of this MOU to strengthen the working relationship between the PARTIES to facilitate the development and implementation of passenger rail improvements that will improve local passenger rail service and operations while preparing

designated HST corridors for eventual HST operation to achieve region wide systems integration of rail service in Northern California; and

**Whereas**, local transportation improvement projects are required to be environmentally evaluated according to CEQA and NEPA regulations and where necessary, existing environmental approval covering incremental improvements to the Peninsula corridor will be updated to reflect evolving local and regional conditions and concerns; and

**Whereas**, incremental improvements and the blended system project will be planned, designed and constructed in a way that supports local land use and Transit Oriented Development policies along the Peninsula corridor; and

Now, **THEREFORE**, it is mutually understood and agreed to by the **PARTIES** as follows:

To jointly support and pursue the implementation of a statewide high speed rail system that utilizes a blended system and operational model on the Peninsula corridor and that has its northern terminus at the Transbay Transit Center in San Francisco as specified in law, and its southern limit at Mile Post 51.4 at the Tamien Station in San Jose. The blended system will support and benefit operation of both Caltrain and future high speed train service.

To jointly recognize a defined set of Inter-related Program of Projects that are consistent with the **AUTHORITY**'s phased implementation plan, are consistent with a blended system operation of the corridor and achieve objectives that include but are not limited to system capacity and connectivity for Caltrain, HST and freight, public safety, operational efficiency, effectiveness and connectivity.

To generally describe, identify and work to fully fund an Inter-related Program of Projects known as the Corridor Electrification Infrastructure Project, Advanced Signal System (also known as Positive Train Control ), the Downtown Extension to the Transbay Transit Center, which is the Proposition 1A designated northern terminus of high-speed rail, new high-speed stations at San Jose Diridon Station and a Millbrae BART/Caltrain Station with a connection to San Francisco International Airport, and a Core Capacity project of needed upgrades to stations, tunnels, bridges, potential passing tracks and other track modifications and rail crossing improvements including improvements and selected grade separations required to accommodate the mixed traffic capacity requirements of high-speed rail service and commuter services.

To recognize that of the set of Inter-related Program of Projects, the most substantial and tangible early-investment benefits will be realized when two essential projects are identified for an Initial Investment Strategy to secure, at the earliest possible date, the benefits of the blended system for the traveling public and an Initial Investment Strategy is needed to provide the groundwork upon which future construction can more readily progress.

To recognize that the two Inter-related projects for Initial Investment Strategy are the Corridor Electrification Infrastructure Project that includes the needed rolling stock to operate revenue

service; and the Advanced Signal System project and to adopt as part of this MOU, the funding plans needed to move as expeditiously as possible toward construction of these two essential projects.

To work toward the implementation of the Initial Investment Strategy to the maximum extent feasible and that the PARTIES shall endeavor to incorporate the Electrification Infrastructure and Advanced Signal System projects into their respective plans and that the AUTHORITY shall reflect this MOU in its Business Plan by December 31, 2012.

That the aforementioned projects will need to be environmentally analyzed and cleared according to CEQA and NEPA guidelines as appropriate, including updating and recirculation of the Caltrain Electrification EA/FEIR completed in 2009.

That the AUTHORITY will endeavor in good faith to secure approval and release of \$ 600 million of Proposition 1A funds and \$106 million of Proposition 1A “connectivity” funds consistent with the funding plans contained in this MOU as required to complete at the earliest possible date, the Corridor Electrification Infrastructure and Advanced Signal System projects.

That the AUTHORITY will endeavor in good faith to secure approval of Proposition 1A “connectivity” funds for Bay Area project sponsors consistent with and in accordance with the schedule and project expenditure plan approved and as amended by the California Transportation Commission.

That the AUTHORITY will work with funding partners to assist in seeking and releasing the funds necessary to implement the Electrification Infrastructure Project and Advanced Signal System project. Local agencies may provide local funds, real property, or in-kind resources as matching funds where matching funds are required to qualify for grant funds. PARTIES agree to work together to identify the appropriate amounts and types of local resources that may be used to support the completion of the Electrification Infrastructure Project and the Advanced Signal System Project.

That the AUTHORITY and appropriate PARTIES will coordinate to obtain funding using a mutually agreed-upon strategy. In the event that funding for the program is constrained by statute, recession of existing law, change in funding requirements or eligibility, reduction in funding level or availability, the AUTHORITY and the PARTIES shall takes steps notify each other as needed in a timely manner.

Date: March 28, 2012  
W.I.: 1512  
Referred by: Commission

Attachment B  
Resolution No. 4056  
Page 1 of 2

**FUNDING PLAN**

**Program Costs and Proposed Funding  
for  
Peninsula Corridor Projects:  
Electrification and Advance Signal System**

<b>Program Costs</b> <i>(in \$ millions, year of expenditure)</i>	
Advance Signal System / Positive Train Control (PTC)	\$231
Electrification and Electric Multiple Units (EMUs)	\$1,225
<b>Total</b>	<b>\$1,456</b>

<b>Program Funding</b> <i>(in \$ millions)</i>	
<b>Source</b>	<b>Amount</b>
JPB Contributions	\$180
JPB Local - Currently Available	\$11
Caltrain PTC	\$4
<b>Subtotal Local</b>	<b>\$195</b>
Prop 1A Connectivity	\$106
Prop 1A High Speed Rail Authority	\$600
Prop 1B Caltrain	\$24
<b>Subtotal State</b>	<b>\$730</b>
Federal RR Admin. for PTC	\$17
Federal Transit Admin prior/current obligations	\$43
Federal Transit Admin future obligations	\$440
<b>Subtotal Federal</b>	<b>\$500</b>
MTC Bridge Tolls	\$11
BAAQMD Carl Moyer	\$20
<b>Subtotal Regional</b>	<b>\$31</b>
<b>Total</b>	<b>\$1,456</b>

See Next Page for Notes.



**Funding Plan Notes:**

1. Caltrain Joint Powers Board (JPB) Local Contribution is \$60 million from San Mateo sales tax, \$60 million from VTA sales tax, and \$60 million from San Francisco (\$23 million from sales tax, \$37 million from Regional Transportation Improvement Program (RTIP)/local/other). Each agency's contribution, including Proposition 1A Connectivity funds as outlined in Note 2, is contingent upon the \$60 million each from the other two JPB partners.
2. Prop 1A Connectivity is \$42 million from Caltrain, \$26 million from VTA, and \$38 million from BART (2<sup>nd</sup> priority for BART after receipt of \$150 million for railcars).
3. Prop 1B Caltrain is \$20 million Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA), \$4 million State-Local Partnership Program (SLPP).
4. FTA Prior/Current Obligations is \$16 million for electrification in prior years, \$27 million for EMUs in FY12.
5. FTA Future Obligations is \$315 million for electric multiple units (EMUs), \$125 million from fixed guideway caps. Funds will be programmed in accordance with MTC Transit Capital Priorities process between approximately FY2012-2013 and FY2022-2023.
6. Bridge Tolls is from Regional Measure 1 (RM1) West Bay Rail Reserve.
7. Bay Area Air Quality Management District (BAAQMD) funds to be confirmed.
8. Assumes that all local sources, Prop 1B PTMISEA, all federal sources, and bridge tolls can be used as match to Prop 1A funds, totaling \$726 million in matching funds for \$706 million in Prop 1A funds.
9. Other potential future funding sources could be substituted if secured, including federal Transportation Investment Generating Economic Recovery (TIGER) funds (such as current Caltrain application for \$44 million), State Interregional Transportation Improvement Program (ITIP) funds, and private financing.

Date: March 28, 2012  
W.I.: 1512  
Referred by: Commission

Attachment C  
Resolution No. 4056  
Page 1 of 3

PREPARING THE CALTRAIN CORRIDOR  
FOR HIGH – SPEED RAIL:  
ELECTRIFICATION AND  
ADVANCED SIGNAL SYSTEM PROJECTS  
MARCH 2012

# ELECTRIFICATION INFRASTRUCTURE PROJECT

Electrification of the peninsula rail corridor is a necessary investment to support a blended Caltrain and high-speed rail system. In the short-term, electrification will bring more commuter service to our region in a quieter and greener way. For the long-term, electrification prepares the corridor to receive the high-speed rail system, which will provide a one-seat ride from downtown San Francisco to Los Angeles.

## Project Scope

The electrification infrastructure project includes the installation of traction power facilities, poles and an overhead contact system, and the purchase of electric rolling stock to replace the current diesel trains, known as electric multiple units (EMUs). The project would extend for 52 miles from San Francisco to San Jose.

## Short-Term Benefits

Caltrain electrification and use of EMUs will result in the following benefits:

- > Faster and more frequent service
- > Reduction of air pollutant emissions
- > Reduction of noise and vibration

## Project Status

In 2009, 35% design and federal environmental clearance were completed. Board certification of the Environmental Assessment /Final Environmental Impact Report (EA/FEIR) to complete the state environmental process has not yet been obtained. If full funding is secured by Summer 2012, the planned project schedule is:

## Project Status and Schedule\*

Phase	Start	Complete
Environmental Clearance **	2012	2013
Final Design & Procurement	2013	2015
Construction & Vehicle Testing	2015	2019

\* Schedule assumes design-bid-build procurement process.

\*\* Update/recirculation of the Caltrain Electrification project EA/FEIR.



Caltrain EMU Vehicle

# ADVANCED SIGNAL SYSTEM

The advanced signal system is needed to support Caltrain and high-speed rail blended services on the peninsula corridor. The system is called Communications Based Overlay Signal System, also known as Positive Train Control (PTC).

## Project Scope

The project serves two purposes. One is to provide enhanced performance attributes to maximize train throughput in the rail corridor. The other is to reduce the risk of train-to-train collisions and prevent trains from exceeding authorized speed limits. The system includes control center upgrades, wayside signals, sensors in the tracks, on-board computers, and connections to global positioning systems. The advanced signal system meets a federal mandate to achieve PTC by 2015.

## Project Benefits

The advanced signal system will:

- > Accommodate blended Caltrain and high-speed trains in the peninsula corridor;
- > Increase the safety of the current signal system;
- > Enable more frequent and dependable passenger service; and
- > Improve grade crossing warning functions.

Additionally, it will enable Caltrain to maintain rail operations during construction, and support faster and more efficient construction schedules in a safer work environment. These capabilities will result in significant project cost savings and minimal service disruptions.

Peninsula Corridor Investment Strategy

## Project Status

If full funding is secured by Summer 2012, the planned project schedule is:

## Project Phases and Schedule

Phase	Start	Complete
Planning and Preliminary Design*	January 2008	July 2010
Procurement of DB Contractor	August 2010	December 2011
Hardware & Software Engineering	2012	2013
Construction / Installation	2013	2014
System Testing and Integration	2014	2015
Revenue Service		2015

\* Project is exempt from environmental review.

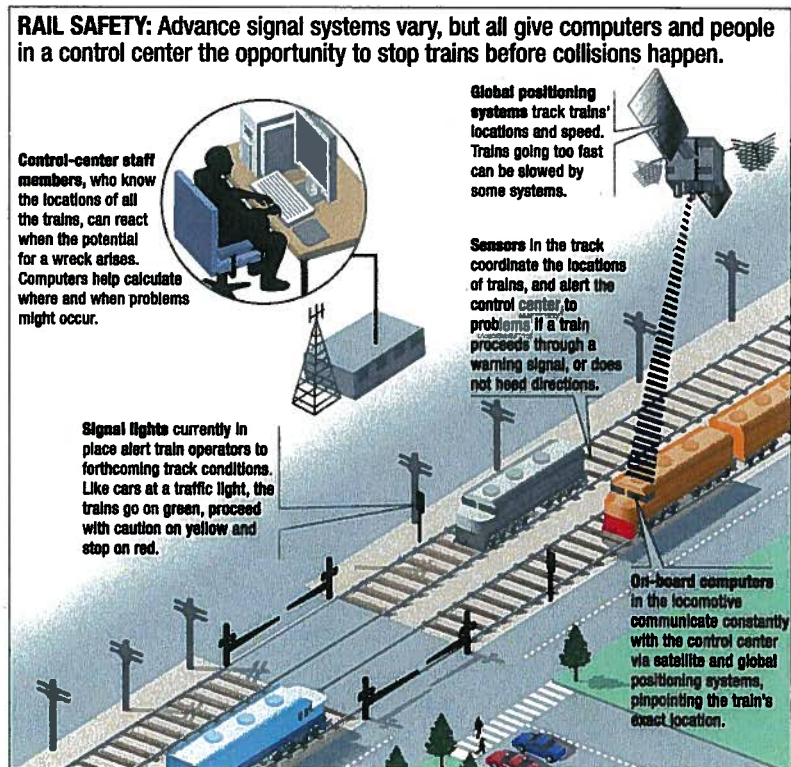


Diagram of how an advanced signal system works

# APPENDIX A – 31

## *Regional Policies: Project Funding and Specific Funding Programs*

**Updated Funding Plan for the Peninsula Corridor  
Electrification Project**

**MTC Resolution No. 4241**



Date: June 22, 2016  
W.I.: 1512  
Referred By: PAC

ABSTRACT

Resolution No. 4241

This resolution updates the funding plan for the Peninsula Corridor Electrification Project by authorizing the Executive Director to execute a Seven-Party Supplement to the 2012 Memorandum of Understanding regarding the High Speed Rail Early Investment Strategy for the Peninsula Corridor (MTC Resolution No. 4056).

This Resolution includes the following attachment:

Attachment A – Seven Party Supplement to 2012 Memorandum of Understanding

Further discussion of the Seven-Party Supplement and the Peninsula Corridor Electrification Project is contained in the Programming and Allocations Committee summary sheet dated June 8, 2016.

Date: June 22, 2016  
W.I.: 1512  
Referred by: PAC

Re: Seven-Party Supplement to the 2012 Memorandum of Understanding regarding the High Speed Rail Early Investment Strategy for the Peninsula Corridor

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4241

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code 66500 et. seq.; and

WHEREAS, during the spring of 2012, MTC, the California High Speed Rail Authority (CHSRA), the Peninsula Corridor Joint Powers Board (PCJPB), the San Francisco County Transportation Authority (SFCTA), the Santa Clara Valley Transportation Authority (VTA), the City of San Jose, the City and County of San Francisco (CCSF), the San Mateo County Transportation Authority (SMCTA), and the Transbay Joint Powers Authority entered into a Memorandum of Understanding that adopted an early investment strategy pertaining to the Blended System in the San Francisco to San Jose Segment of the Peninsula Rail Corridor (the "2012 Nine-Party MOU"), a copy of which is attached hereto as Exhibit A of Attachment A, and incorporated herein by this reference; and

WHEREAS, the 2012 Nine-Party MOU identifies two principal inter-related projects as essential to the early investment strategy: (1) the Peninsula Corridor Electrification Project, including associated rolling stock acquisition (PCEP), and (2) construction of an advanced signal system, commonly known as the PCJPB's "CBOSS" project, which will incorporate federally mandated Positive Train Control (collectively, the "Early Investment Projects"); and

WHEREAS, \$125 million in Federal Transit Administration (FTA) funds identified in the 2012 Early Investment Strategy funding plan included in the 2012 Nine-Party MOU is needed by the PCJPB to advance critical state of good repair improvements necessary to maintain existing Caltrain operations, and the PCJPB has requested to remove these funds from the early investment funding strategy, which would create a \$125 million funding gap; and

WHEREAS, a note to the 2012 early investment strategy funding plan included in the 2012 Nine-Party MOU indicated that other potential future funding sources could be substituted if secured; and

WHEREAS, the PCJPB conducted a cost estimate study for the PCEP in 2014 to update the 2008 cost estimate on which the 2012 Nine-Party MOU funding strategy for the PCEP was based, and the PCJPB has since included additional program contingency to the PCEP, such that the total anticipated budget for the PCEP is up to \$1.98 billion, which includes costs covering the contracts, program management, and contingency costs; and

WHEREAS, representatives of MTC, PCJPB, SMCTA, VTA, CCSF, SFCTA and CHSRA have met and discussed with all parties to the 2012 Nine-Party MOU additional funding needed for the PCEP to support contract awards, and have agreed to a Seven-Party Supplement to the 2012 Nine-Party MOU (Seven-Party Supplement), which is attached hereto as Attachment A, and incorporated herein by this reference; and

WHEREAS, the Seven-Party Supplement updates the 2012 early investment strategy funding plan by making additional funding commitments to replace \$125 million in FTA funds that PCJPB requested to remove from the early investment funding strategy and to provide sufficient funds to complete PCEP at the anticipated cost of up to \$1.98 billion, which is attached hereto as Exhibit B to Attachment A, and incorporated herein by this reference; now therefore be it

RESOLVED, that MTC approves the Seven-Party Supplement to the 2012 Nine-Party MOU as set forth in Attachment A and incorporated herein; and be it further

RESOLVED, that all Parties have agreed to and approve the funding plan set forth in Exhibit B to Attachment A and incorporated herein; and be it further

RESOLVED, that the Executive Director is authorized to execute Attachment A on behalf of MTC, and to make non-substantive changes or minor amendments as deemed appropriate subject to review by MTC's Office of General Counsel for form; and, be it further

RESOLVED, that MTC agrees to provide the funds as shown in Exhibit B to Attachment A subject to the PCJPB, SMCTA, VTA, CCSF, SFCTA and CHSRA also agreeing to provide the funds as shown in Exhibit B to Attachment A, and subject to Congressional authorization and appropriation, availability of funds, and other critical regional transit capital needs; and, be it further

RESOLVED, that MTC may substitute other MTC-controlled funds in place of the funds shown in Exhibit B to Attachment A; and be it further



RESOLVED, that MTC agrees to take timely follow-up approval actions as may be necessary to allocate and program specific funding identified in Exhibit B to Attachment A; and be it further

RESOLVED, that programming by MTC of FTA funds that are part of the \$125 million in FTA funds that PCJPB requested to remove from the early investment funding strategy for PCJPB fixed guideway infrastructure rehabilitation projects in the regional Transit Capital Priorities Program for FY2016-17 shall be conditioned on an assessment that sufficient funds from the Federal Transit Administration Core Capacity Program, the state Transit Capital and Intercity Rail Program, or other sources have been committed to PCEP to substantially complete the PCEP funding plan.

METROPOLITAN TRANSPORTATION COMMISSION



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Dave Cortese, Chair

This resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in San Francisco, California, on June 22, 2016.

Date: June 22, 2016  
W.I.: 1512  
Referred by: PAC

Attachment A  
Resolution No. 4241  
Page 1 of 6

**SEVEN PARTY SUPPLEMENT TO  
2012 MEMORANDUM OF UNDERSTANDING (MOU)**

**FINANCIAL COMMITMENTS TO ADDRESS FUNDING GAP FOR  
THE PENINSULA CORRIDOR ELECTRIFICATION PROJECT**

BY AND AMONG THE FOLLOWING PARTIES (PARTIES)

SAN MATEO COUNTY TRANSPORTATION AUTHORITY (SMCTA)  
SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA)  
CITY AND COUNTY OF SAN FRANCISCO (CCSF)  
SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY (SFCTA)  
METROPOLITAN TRANSPORTATION COMMISSION (MTC)  
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)  
CALIFORNIA HIGH SPEED RAIL AUTHORITY (CHSRA)

**RECITALS**

WHEREAS, during the spring of 2012, the California High Speed Rail Authority (CHSRA) and the Peninsula Corridor Joint Powers Board (PCJPB), together with the Metropolitan Transportation Commission (MTC), the San Francisco County Transportation Authority (SFCTA), the Santa Clara Valley Transportation Authority (VTA), the City of San Jose, the City and County of San Francisco (CCSF), the San Mateo County Transportation Authority (SMCTA), and the Transbay Joint Powers Authority entered into a Memorandum of Understanding that adopted an early investment strategy pertaining to the Blended System in the San Francisco to San Jose Segment of the Peninsula Rail Corridor (the "2012 Nine-Party MOU"), a copy of which is attached hereto as Exhibit A and incorporated herein by this reference;

WHEREAS, the 2012 Nine-Party MOU identifies two principal inter-related projects as essential to the early investment strategy: (1) the Peninsula Corridor Electrification Project, including associated rolling stock acquisition (the PCEP), and (2) construction of an advanced signal system, commonly known as the PCJPB's "CBOSS" project, which will incorporate federally mandated Positive Train Control (collectively, the "Early Investment Projects");

WHEREAS, the Parties to the 2012 Nine-Party MOU agreed to work together to identify the appropriate amounts and types of local resources that may be used to support the completion of the Early Investment Projects and to coordinate efforts to obtain funding using a mutually agreed-upon strategy, and in the event that funding for the program is constrained by statute, rescission of existing law, change in funding requirements or eligibility, reduction in funding level or availability, the Parties agreed to take steps to notify each other as needed in a timely manner;

WHEREAS, \$125 million in FTA funds identified in the 2012 Early Investment Strategy funding plan included in the 2012 Nine-Party MOU is needed by the PCJPB to advance critical state of good repair improvements necessary to maintain existing Caltrain operations, and the PCJPB has requested to remove these funds from the early investment funding strategy, which would create a \$125 million funding gap; and

WHEREAS, a note to the 2012 early investment strategy funding plan included in the 2012 Nine-Party MOU indicated that other potential future funding sources could be substituted if secured;

WHEREAS, the PCJPB conducted a cost estimate study for the PCEP in 2014 to update the 2008 cost estimate on which the 2012 Nine-Party MOU funding strategy for the PCEP was based, and the PCJPB has since included additional program contingency to the PCEP, such that the total anticipated budget for the PCEP is up to \$1.980 billion, which includes costs covering the contracts, program management, and contingency costs;

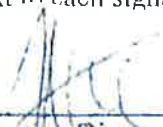
WHEREAS, the Parties to this Seven-Party Supplement (Supplement) have met and discussed with all parties to the 2012 Nine-Party MOU additional funding needed for the PCEP to support contract award and have agreed to the funding commitments specified herein;

NOW, THEREFORE, it is mutually understood and agreed to by the PARTIES as follows:

1. To fully fund the PCEP, the parties to this Supplement commit to make the funding available to support the PCEP as set forth below. This funding is in addition to funding commitments previously made by these parties in the 2012 Nine-Party MOU.
  - a. The SMCTA will contribute an additional \$20 million;
  - b. The VTA will contribute an additional \$20 million;
  - c. The SFCTA and/or the CCSF will contribute an additional \$20 million;  
  
(For SMCTA, VTA, and SFCTA and/or CCSF, each agency's contribution is contingent upon the \$20 million each from the other two JPB partners, with the exact manner and timing of the contributions to be worked out with the JPB.)
  - d. The MTC will program \$28.4 million from Regional Measures 1 and 2;
  - e. The PCJPB will contribute \$9 million from funding provided by formula to Caltrain through the State of California's Low Carbon Transit Operations Program; and
  - f. The CHSRA will contribute an additional \$113 million.
2. The Parties to this Supplement also support the PCJPB's efforts to obtain \$647 million from FTA's Core Capacity Grant Program for the PCEP as a regional priority. The \$647 million would help provide funding needed for the PCEP, as well as funding to support a larger contingency set-aside for the PCEP program.
3. The Parties to this Supplement understand PCJPB has requested \$225 million from the California State Transportation Agency's Transit & Intercity Rail Capital Program (Cap & Trade TIRCP) to support the PCEP, as contemplated in the 2012 Nine-Party MOU. ~~These funds will be prioritized for PCEP and will be used to backfill any shortfall in requested FTA Core Capacity funds.~~ If available, funding not needed for PCEP will be used to replace the remaining Caltrain diesel vehicles with Electric Multiple Units (EMUs). The exact remaining number of vehicles to be replaced will be contingent on the final Cap & Trade TIRCP grant award.
4. The parties to this Supplement also agree that, with the additional funding sources, \$125 million in FTA funds identified in the 2012 Early Investment Strategy funding plan will no longer be needed for the PCEP, and will instead be programmed by the MTC to the JPB to advance critical Caltrain state of good repair improvements through MTC's established regional Transit Capital Priorities process.
5. The total anticipated amount of funding to be secured for the PCEP will be \$1.980 billion, which includes the funding sources outlined above in paragraphs 1, 2, and 3, along with the original funding sources in the 2012 Nine-Party MOU except the \$125 million noted in paragraph 4 above. The revised funding plan for the PCEP reflecting the changes described herein is attached as Exhibit B.

6. The parties to this supplement agree to continue, through regular meetings, to provide opportunity for all nine parties to the 2012 Nine-Party MOU to discuss, review, and/or comment on relevant project matters and collectively provide advisory oversight to help advance the PCEP.
7. If overall program costs reflect a financial commitment that is below the funding plan of \$1.980 billion, funding commitments from the parties to this Supplement will be reduced proportionally according to their respective additional shares as stated in this Supplement.
8. In the event overall program costs reflect a financial commitment that is above the funding plan of \$1.980 billion, or if the FTA Core Capacity funds are awarded at less than \$647 million, the parties to this Supplement will discuss with all parties to the 2012 Nine-Party MOU how to secure additional funding beyond what is presently identified, and/or discuss project scope adjustments to match to funding availability.
9. The parties to the 2012 Nine-Party MOU will also discuss and agree on program oversight roles for the funding partners prior to the award of the PCEP contracts.


IN WITNESS WHEREOF, this MOU has been executed by the PARTIES hereto as of the day and year indicated next to each signature, with the final signature date constituting the effective date.

  
Jim Hartnett, Executive Director  
Peninsula Corridor Joint Powers Board and  
San Mateo County Transportation Authority

8/21/2016  
Date

  
Nuria Fernandez, General Manager/CEO  
Santa Clara Valley Transportation Authority

8/9/16  
Date

  
Edwin M. Lee, Mayor  
City and County of San Francisco

8/15/2016  
Date


Board of Supervisors  
Resolution No. 366-16  
Dated: 8-8-2016

Attest:

  
for Peggy Nevins  
Clerk of the Board

  
Tilly Chang, Executive Director  
San Francisco County Transportation Authority

8/30/16  
Date

  
Steve Hominger, Executive Director  
Metropolitan Transportation Commission

8-11-16  
Date

  
Jeff Morales, Chief Executive Officer  
California High Speed Rail Authority

8/30/2016  
Date

APPROVED AS TO FORM BY:

8/29/16  
\_\_\_\_\_  
Attorney for Peninsula Corridor Joint Powers Board and  
San Mateo County Transportation Authority Date

8/10/16  
\_\_\_\_\_  
Attorney for Santa Clara Valley Transportation Authority Date

Dennis J. Herrera, City Attorney  
By: 8/30/16  
\_\_\_\_\_  
Robin M. Reitzes, Deputy City Attorney Date  
Attorney for City and County of San Francisco

*[SFCTA does not require a signature from their Legal Counsel]*

\_\_\_\_\_  
Attorney for San Francisco County Transportation Authority Date

8/11/16  
\_\_\_\_\_  
Attorney for Metropolitan Transportation Commission Date

8/30/16  
\_\_\_\_\_  
Attorney for California High Speed Rail Authority Date

# MEMORANDUM OF UNDERSTANDING (MOU)

HIGH SPEED RAIL EARLY INVESTMENT STRATEGY FOR  
A BLENDED SYSTEM IN THE SAN FRANCISCO TO SAN  
JOSE SEGMENT KNOWN AS THE PENINSULA CORRIDOR  
OF THE STATEWIDE HIGH-SPEED RAIL SYSTEM

BY AND AMONG THE FOLLOWING PARTIES (PARTIES)

CALIFORNIA HIGH SPEED RAIL AUTHORITY (AUTHORITY)  
METROPOLITAN TRANSPORTATION COMMISSION (MTC)  
PENINSULA CORRIDOR JOINT POWERS BOARD (JPB)  
SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY (SFCTA)  
SAN MATEO COUNTY TRANSPORTATION AUTHORITY (SMCTA)  
SANTA CLARA VALLEY TRANSPORTATION AUTHORITY (VTA)  
CITY OF SAN JOSE  
CITY AND COUNTY OF SAN FRANCISCO  
TRANSBAY JOINT POWERS AUTHORITY (TJPA)



**Recitals**

**Whereas**, the California High-Speed Rail AUTHORITY (AUTHORITY) is responsible for planning, building and maintaining an 800-mile statewide high-speed rail system and improved mobility through the development of safe, clean, reliable rail technology; and

**Whereas**, the AUTHORITY, in partnership with the Federal Railroad Administration is advancing a California High-Speed Train (HST) network that links the major metropolitan areas of the State of California utilizing corridors into and through Southern, Central and Northern California; and

**Whereas**, the AUTHORITY has responsibility for planning, construction and operation of high-speed passenger train service in California and is exclusively charged with accepting grants, fees and allocations from the state, from political subdivisions of the state and from the federal government, foreign governments, and private sources; and

**Whereas**, the AUTHORITY's 2012 Business Plan proposes to incrementally develop the HST system utilizing a blended system approach that will coordinate the development and operations of HST with existing passenger rail systems that improves, enhances and expands the integration of high-speed and regional/local passenger rail systems; and

**Whereas**, this blended approach requires a series of incremental investments in the Peninsula corridor to prepare for integrated service and operations and the AUTHORITY recognizes the need for a collaborative effort with regional and local agencies to identify early investment projects along existing rail corridors that improves service, improves safety and efficiency, and creates linkages between HST and local passenger rail service; and

**Whereas**, a blended system will remain substantially within the existing Caltrain right-of-way and will accommodate future high-speed rail and modernized Caltrain service along the Peninsula corridor by primarily utilizing the existing track configuration on the Peninsula; and

**Whereas**, this MOU is specific to project investments that upgrade existing rail service and prepare for a future high-speed train project that is limited to infrastructure necessary to support a blended system, which will primarily be a two-track system shared by both Caltrain and high-speed rail and will be designed to continue to support existing passenger and freight rail tenants; and

**Whereas**, local transportation improvement projects are required to be included in a Regional Transportation Plan (Plan), and the Metropolitan Transportation Commission, working closely with local agencies is charged with developing the Plan every four years to provide guidance for transportation investments within the Bay Area and with development of regional transportation strategies to address the needs of the San Francisco Bay Area; and

**Whereas**, on December 19, 2001, MTC adopted the Regional Transit Expansion Program of Projects (Resolution 3434) which includes the Transbay Transit Center Phase 2 Downtown Extension and Caltrain Electrification projects as regional priorities for transit expansion; and

**Whereas**, the Sustainable Communities and Climate Protection Act of 2008 (SB 375, Steinberg, Statutes of 2008) requires the Plan to include a Sustainable Communities Strategy (SCS), showing evidence of integrated planning, goals that establish and strengthen the crucial linkages between the economy, land use development and the regional transportation system to improve access to jobs, education, healthcare, and other amenities in ways that improve the overall quality of life in the Bay Area and the blended system on the Peninsula corridor in the California High-Speed Rail program are consistent with achieving SB 375 goals to reduce greenhouse gas emissions; and

## Exhibit A

**Whereas**, all Parties are involved in the planning, funding, construction and/or operation of heavy and light rail transit, buses, and/or commuter train services in the Peninsula corridor and are considering intermodal service integration, including linkages to the proposed HST service; and

**Whereas**, it is the intent and purpose of this MOU to strengthen the working relationship between the PARTIES to facilitate the development and implementation of passenger rail improvements that will improve local passenger rail service and operations while preparing designated HST corridors for eventual HST operation to achieve region wide systems integration of rail service in Northern California; and

**Whereas**, local transportation improvement projects are required to be environmentally evaluated according to CEQA and NEPA regulations and where necessary, existing environmental approval covering incremental improvements to the Peninsula corridor will be updated to reflect evolving local and regional conditions and concerns; and

**Whereas**, incremental improvements and the blended system project will be planned, designed and constructed in a way that supports local land use and Transit Oriented Development policies along the Peninsula corridor; and

Now, **THEREFORE**, it is mutually understood and agreed to by the **PARTIES** as follows:

To jointly support and pursue the implementation of a statewide high speed rail system that utilizes a blended system and operational model on the Peninsula corridor and that has its northern terminus at the Transbay Transit Center in San Francisco as specified in law, and its southern limit at Mile Post 51.4 at the Tamien Station in San Jose. The blended system will support and benefit operation of both Caltrain and future high speed train service.

To jointly recognize a defined set of Inter-related Program of Projects that are consistent with the AUTHORITY's phased implementation plan, are consistent with a blended system operation of the corridor and achieve objectives that include but are not limited to system capacity and connectivity for Caltrain, HST and freight, public safety, operational efficiency, effectiveness and connectivity.

To generally describe, identify and work to fully fund an Inter-related Program of Projects known as the Corridor Electrification Infrastructure Project, Advanced Signal System (also known as Positive Train Control), the Downtown Extension to the Transbay Transit Center, which is the Proposition 1A designated northern terminus of high-speed rail, new high-speed stations at San Jose Diridon Station and a Millbrae BART/Caltrain Station with a connection to San Francisco International Airport, and a Core Capacity project of needed upgrades to stations, tunnels, bridges, potential passing tracks and other track modifications and rail crossing improvements including improvements and selected grade separations required to accommodate the mixed traffic capacity requirements of high-speed rail service and commuter services.

To recognize that of the set of Inter-related Program of Projects, the most substantial and tangible early-investment benefits will be realized when two essential projects are identified for an Initial Investment Strategy to secure, at the earliest possible date, the benefits of the blended system for the traveling public and an Initial Investment Strategy is needed to provide the groundwork upon which future construction can more readily progress.

To recognize that the two Inter-related projects for Initial Investment Strategy are the Corridor Electrification Infrastructure Project that includes the needed rolling stock to operate revenue service; and the Advanced Signal System project and to adopt as part of this MOU, the funding plans needed to move as expeditiously as possible toward construction of these two essential projects.

## Exhibit A

To work toward the implementation of the Initial Investment Strategy to the maximum extent feasible and that the PARTIES shall endeavor to incorporate the Electrification Infrastructure and Advanced Signal System projects into their respective plans and that the AUTHORITY shall reflect this MOU in its Business Plan by December 31, 2012.

That the aforementioned projects will need to be environmentally analyzed and cleared according to CEQA and NEPA guidelines as appropriate, including updating and recirculation of the Caltrain Electrification EA/FEIR completed in 2009.

That the AUTHORITY will endeavor in good faith to secure approval and release of \$600 million of Proposition 1A funds and \$106 million of Proposition 1A “connectivity” funds consistent with the funding plans contained in this MOU as required to complete at the earliest possible date, the Corridor Electrification Infrastructure and Advanced Signal System projects.

That the AUTHORITY will endeavor in good faith to secure approval of Proposition 1A “connectivity” funds for Bay Area project sponsors consistent with and in accordance with the schedule and project expenditure plan approved and as amended by the California Transportation Commission.

That the AUTHORITY will work with funding partners to assist in seeking and releasing the funds necessary to implement the Electrification Infrastructure Project and Advanced Signal System project. Local agencies may provide local funds, real property, or in-kind resources as matching funds where matching funds are required to qualify for grant funds. PARTIES agree to work together to identify the appropriate amounts and types of local resources that may be used to support the completion of the Electrification Infrastructure Project and the Advanced Signal System Project.

That the AUTHORITY and appropriate PARTIES will coordinate to obtain funding using a mutually agreed-upon strategy. In the event that funding for the program is constrained by statute, rescission of existing law, change in funding requirements or eligibility, reduction in funding level or availability, the AUTHORITY and the PARTIES shall take steps to notify each other as needed in a timely manner.

FUNDING PLAN

Program Costs and Proposed Funding  
for  
Peninsula Corridor Projects:  
Electrification and Advance Signal System

Program Costs <i>(in \$ millions, year of expenditure)</i>	
Advance Signal System / Positive Train Control (PTC)	\$231
Electrification and Electric Multiple Units (EMUs)	\$1,225
<b>Total</b>	<b>\$1,456</b>


Program Funding <i>(in \$ millions)</i>	
Source	Amount
JPB Contributions	\$180
JPB Local - Currently Available	\$11
Caltrain PTC	\$4
<b>Subtotal Local</b>	<b>\$195</b>
Prop 1A Connectivity	\$106
Prop 1A High Speed Rail Authority	\$600
Prop 1B Caltrain	\$24
<b>Subtotal State</b>	<b>\$730</b>
Federal RR Admin. for PTC	\$17
Federal Transit Admin prior/current obligations	\$43
Federal Transit Admin future obligations	\$440
<b>Subtotal Federal</b>	<b>\$500</b>
MTC Bridge Tolls	\$11
BAAQMD Carl Moyer	\$20
<b>Subtotal Regional</b>	<b>\$31</b>
<b>Total</b>	<b>\$1,456</b>

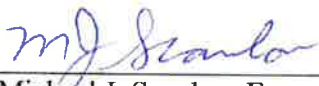
Funding Plan Notes:


1. Caltrain Joint Powers Board (JPB) Local Contribution is \$60 million from San Mateo sales tax, \$60 million from VTA sales tax, and \$60 million from San Francisco (\$23 million from sales tax, \$37 million from Regional Transportation Improvement Program (RTIP)/local/other). Each agency's contribution, including Proposition 1A Connectivity funds as outlined in Note 2, is contingent upon the \$60 million each from the other two JPB partners.
2. Prop 1A Connectivity is \$42 million from Caltrain, \$26 million from VTA, and \$38 million from BART (2<sup>nd</sup> priority for BART after receipt of \$150 million for railcars).
3. Prop 1B Caltrain is \$20 million Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA), \$4 million State-Local Partnership Program (SLPP).
4. FTA Prior/Current Obligations is \$16 million for electrification in prior years, \$27 million for EMUs in FY12.
5. FTA Future Obligations is \$315 million for electric multiple units (EMUs), \$125 million from fixed guideway caps. Funds will be programmed in accordance with MTC Transit Capital Priorities process between approximately FY2012-2013 and FY2022-2023.
6. Bridge Tolls is from Regional Measure 1 (RM1) West Bay Rail Reserve.
7. Bay Area Air Quality Management District (BAAQMD) funds to be confirmed.
8. Assumes that all local sources, Prop 1B PTMISEA, all federal sources, and bridge tolls can be used as match to Prop 1A funds, totaling \$726 million in matching funds for \$706 million in Prop 1A funds.
9. Other potential future funding sources could be substituted if secured, including federal Transportation Investment Generating Economic Recovery (TIGER) funds (such as current Caltrain application for \$44 million), State Interregional Transportation Improvement Program (ITIP) funds, and private financing.

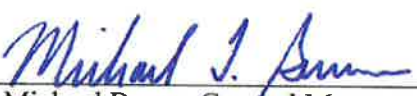
IN WITNESS WHEREOF, this MOU has been executed by the PARTIES hereto as of the day and year indicated next to each signature, with the final signature date constituting the effective date.

  
\_\_\_\_\_  
Jeff Morales, Chief Executive Officer  
California High Speed Rail Authority | Date  
9/18/2012

  
\_\_\_\_\_  
Steve Heminger, Executive Director  
Metropolitan Transportation Commission | Date  
9/18/2012

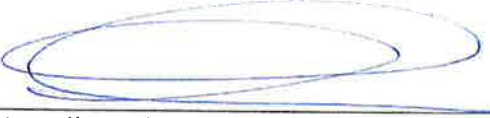
  
\_\_\_\_\_  
Michael J. Scanlon, Executive Director  
Peninsula Corridor Joint Powers Board and  
San Mateo County Transportation Authority | Date  
9/21/2012

  
\_\_\_\_\_  
Jose Luis Moscovich, Executive Director  
San Francisco County Transportation Authority | Date  
10/15/12

  
\_\_\_\_\_  
Michael Burns, General Manager  
Santa Clara Valley Transportation Authority | Date  
11/29/12

  
\_\_\_\_\_  
Debra Figone, City Manager  
City of San Jose | Date  
12/12/12

  
\_\_\_\_\_  
Edwin M. Lee, Mayor  
City and County of San Francisco | Date  
1/15/13

  
\_\_\_\_\_  
Maria Ayerdi-Kaplan, Executive Director  
Transbay Joint Powers Authority | Date  
1/25/13

**EXHIBIT B**  
**FUNDING PLAN FOR PENINSULA CORRIDOR**  
**ELECTRIFICATION AND ADVANCED SIGNAL SYSTEM PROJECTS**  
(\$ millions)

	9-Party MOU Funding Strategy	Changes in the 7-Party Supplemental MOU	Revised Costs & Funding Sources	CBOSS	PCEP
<b>Projected Costs</b>					
PCEP	1,225.0	755.0	1,980.0	-	1,980.0
CBOSS	231.0		231.0	231.0	-
Total	1,456.0	755.0	2,211.0	231.0	1,980.0
<b>Funding Sources</b>					
JPB Member Contributions	180.0	60.0	240.0	47.0	193.0
JPB Local	11.0	9.0	20.0	11.0	9.0
Caltrain PTC	4.0		4.0	4.0	
Subtotal Local	195.0	69.0	264.0	62.0	202.0
Prop 1A Connectivity	106.0		106.0	106.0	
Prop 1A HSRA	600.0		600.0		600.0
CHSRA Cap & Trade/Other		113.0	113.0		113.0
Cap & Trade TIRCP <sup>1</sup>		20.0	20.0		20.0
Prop 1B Caltrain	24.0		24.0	16.0	8.0
Subtotal State	730.0	133.0	863.0	122.0	741.0
FRA	17.0		17.0	17.0	
FTA/FHWA Prior/Current Obligations <sup>2</sup>	45.8		45.8	29.8	16.0
FTA Future Obligations	440.0	(125.0)	315.0		315.0
FTA Core Capacity <sup>3</sup>	-	647.0	647.0	-	647.0
Subtotal Federal	502.8	522.0	1,024.8	46.8	978.0
MTC Bridge Tolls	11.0	28.4	39.4		39.4
BAAQMD Carl Moyer	20.0		20.0		20.0
Subtotal Regional	31.0	28.4	59.4	-	59.4
Total	1,458.8	752.4	2,211.2	230.8	1,980.4

**Notes**

1. The parties to the Seven-Party Supplement to 2012 Memorandum of Understanding recognize that the JPB has requested State Cap & Trade TIRCP funds to help fund the PCEP. Of the \$225m requested, \$20m is identified to help close the funding gap in the \$1.98 billion project cost estimate for PCEP.
2. The \$2.8m represents a FHWA grant (Railway/Hwy Hazard Elimination) for the CBOSS project that was secured after the 2012 MOU execution. This amount is not included in the 7-party MOU since the funding is for the CBOSS project.
3. \$647 million in FTA Core Capacity funds would help close the funding gap for PCEP, as well as providing funding to support a larger contingency set-aside for PCEP.

# APPENDIX A – 32

## *Regional Policies: Project Funding and Specific Funding Programs*

**Funding Plan for Phase 1 of the  
BART Rail Car Replacement Program  
MTC Resolution No. 4126**



Date: December 18, 2013  
W.I.: 1512  
Referred By: PAC  
Revised: 01/27/16-C

ABSTRACT

Resolution No. 4126, Revised

This resolution supersedes MTC Resolution No. 3918 by revising the Funding Plan for Phase 1 of the BART Rail Car Replacement Program, which includes a policy-level commitment of approximately \$871 million in regional funding in fiscal years 2006 through 2019. The funding framework for Phase 2 of the project established by Resolution No. 3918 is superseded by the investment plan included in the Core Capacity Challenge Grant Program, MTC Resolution No. 4123.

This Resolution includes the following attachments:

A – Principles for Phase 1 Funding Plan

B – Phase 1 Funding Plan

Attachment B of this resolution was revised by the Commission on January 27, 2016 to 1) revise the Funding Plan for Phase 1 of the BART Rail Car Replacement Program by reducing the commitment of FTA and STP funds by \$150 million and adding a new commitment of AB 664 Bridge Tolls and BATA Project Savings totaling \$150 million, and 2) to update the amounts programmed through FY 2015-16 and the amounts remaining to be programmed.

Further discussion of the BART Rail Car Replacement Program is contained in the Programming and Allocations Summary Sheet dated December 11, 2013 and January 13, 2016.



Date: December 18, 2013  
W.I.: 1512  
Referred by: PAC

Re: BART Rail Car Replacement Program

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4126

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code 66500 et. seq.; and

WHEREAS, the San Francisco Bay Area Rapid Transit District (BART) is a rapid transit district providing heavy rail transit service in the San Francisco Bay Area; and

WHEREAS, BART has approved Resolution No. 5134 regarding the BART Rail Car Replacement Program and therein agreed to the matters referenced in the succeeding WHEREAS and RESOLVED clauses; and

WHEREAS, BART wishes to replace 669 rail cars through its Rail Car Replacement Program (PROJECT); and

WHEREAS, BART and MTC wish to establish a funding framework and understanding for the PROJECT; and

WHEREAS, BART and MTC wish to establish a policy-level commitment of funding toward a PHASE 1 FUNDING PLAN in fiscal years 2011 through 2019 in order for BART to award a contract for the PROJECT; and

WHEREAS, MTC previously adopted MTC Resolution No. 3866, the Transit Coordination Implementation Plan; and

WHEREAS, pursuant to Resolution No. 3866, MTC may, at its discretion, withhold, restrict or re-program funds and allocations to an operator that has not made reasonable efforts to implement the requirements of Resolution No. 3866; now be it therefore,

RESOLVED, that BART and MTC have agreed to and approve the PRINCIPLES FOR PHASE 1 FUNDING PLAN set forth in Attachment A and incorporated herein; and be it further

RESOLVED, that BART and MTC have agreed to and approve the PHASE 1 FUNDING PLAN set forth in Attachment B and incorporated herein; and be it further

RESOLVED, that BART and MTC agree that MTC's commitment of funding for the PHASE 1 FUNDING PLAN for the PROJECT is limited to the total amount of MTC Funding shown in the PHASE 1 FUNDING PLAN ; and be it further

RESOLVED, that MTC agrees to program in a timely manner Federal Transit Administration (FTA) and Federal Highway Administration (FHWA) funds as set forth in Attachment B, subject to Congressional authorization and appropriation, availability of funds, and other critical regional transit capital needs in order to meet PHASE 1 FUNDING PLAN cash flow needs and minimize financing costs; and be it further

RESOLVED, that MTC may substitute other MTC-controlled funds in place of available FTA and FHWA funds specified in the PHASE 1 FUNDING PLAN; and be it further

RESOLVED, that BART agrees to use the funds as shown in Attachment B to meet the local match requirements of federal funds for the PHASE 1 FUNDING PLAN; and be it further

RESOLVED, that BART agrees to comply with all applicable local, state, and federal requirements for funds programmed by MTC; and be it further

RESOLVED, that BART and MTC agree to work with the Bay Area Partnership to ensure that the PROJECT funding plan will be developed and programmed in agreement with the region's overall approach to the Transit Capital Priorities program; and be it further

RESOLVED, that BART acknowledges that it has received regional funds from MTC to extend the life of some of its current fleet of rail cars so that they will remain in service while the replacement cars are being procured and delivered, and agrees to maintain its current fleet of rail

cars so that they will remain in service while the replacement cars are being procured and delivered; and be it further


RESOLVED, that BART agrees that it will not request regional funds from MTC for a rehabilitation of its current fleet of railcars; and be it further

RESOLVED, that MTC may withhold amending annual PHASE 1 FUNDING PLAN funds in the Transportation Improvement Program if the Commission finds that BART is not in compliance with MTC Resolution No. 3866; and be it further

RESOLVED, that BART and MTC will work with the FTA to ensure the federal funds are available to the PROJECT; and be it further

RESOLVED, that this resolution supersedes MTC Resolution No. 3918.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Amy ReinWorth, Chair

This resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California, on December 18, 2013.

Date: December 18, 2013  
W.I.: 1512  
Referred by: PAC

Attachment A  
Resolution No. 4126  
Page 1 of 2

## **PRINCIPLES FOR PHASE 1 FUNDING PLAN BART CAR REPLACEMENT PROGRAM**

### **1. Project Definition**

The BART Car Replacement Program (PROJECT) consists of replacing 669 A, B, C1 and C2 cars at an estimated cost of \$2.2 billion (in escalated dollars). The procurement of additional capacity expansion cars as well as cars for the Warm Springs and Berryessa extensions is outside of the scope of these Principles.

The PHASE 1 FUNDING PLAN specified in this resolution will address the costs of replacing approximately the first 350 cars at an estimated cost of \$1.2 billion (in escalated dollars).

The PHASE 2 FUNDING PLAN will address the costs of replacing approximately the remaining 319 cars at an estimated cost of \$1.0 billion (in escalated dollars). The PHASE 2 FUNDING PLAN is included in the investment plan established by the Core Capacity Challenge Grant Program, MTC Resolution No. 4123.

### **2. Background and Prior Actions**

MTC Resolution No. 3918 established a funding framework for the BART Rail Car Replacement Program (Phases I and II) and a policy-level commitment of approximately \$780 million in funding toward the Phase 1 Funding Plan for the project in fiscal years 2011 through 2019. Together with regional funds programmed prior to FY 2011, the regional commitment totals \$871 million.

This resolution supersedes MTC Resolution No. 3918 by revising the Phase 1 Funding Plan to reflect changes to the scope and costs for Phase 1 resulting from BART's award of a contract for the rail cars, as specified above under Project Definition. The funding framework for Phase 2 of the project established by Resolution No. 3918 is superseded by the investment plan included in the Core Capacity Challenge Grant Program, MTC Resolution No. 4123.

Transportation 2035 and Plan Bay Area, the region's most recent long-range plans that were adopted in April 2009 and July 2013, respectively, include projected funding to meet BART's capital replacement and rehabilitation needs over the planning period, including the costs of the PROJECT.

### **3. Regional Share of Phase 1 Project Costs**

Consistent with the region's long-range plans and Resolution No. 3918, MTC will provide approximately \$871 million, or about 75%, of the \$1.2 billion PHASE 1 FUNDING PLAN costs.

This includes projected FTA Section 5307, FTA Section 5337, FHWA STP (or successor programs) and/or other anticipated funding sources included in Plan Bay Area, as well as the funds that have been programmed to the PROJECT prior to the adoption of Plan Bay Area and projected earnings on the BART Car Replacement Funding Exchange Account.

**Assumptions for Regional Share:**

- The total cost of the PHASE 1 FUNDING PLAN is \$1.2 billion and includes replacement of 350 cars.
- The PHASE 1 FUNDING PLAN assumes that any FTA or STP programming not needed for direct project expenditures in the year of programming will be exchanged for BART funds, which will be deposited in the BART Car Replacement Funding Exchange Account.
- The PHASE 1 FUNDING PLAN assumes that a combination of earnings credited to the BART Car Replacement Funding Exchange Account and, if earnings are insufficient, additional programming of STP or other funding sources will provide \$50 million for the PHASE 1 FUNDING PLAN.
- The PHASE 1 FUNDING PLAN assumes that state High Speed Rail Connectivity funds and other local BART funds will be available to BART to meet their \$298 million contribution.
- Major transit capital rehabilitation and replacement needs in the Region can be met as anticipated in Plan Bay Area, including 100% of the cost of replacing revenue vehicles and approximately 76% of the cost of replacing and rehabilitating Fixed Guideway and other Score 16 assets.
- The Region will receive \$20.9 billion in Committed Revenues, including FTA formula funds and AB664 bridge tolls, between FY 2013 and FY 2040 as anticipated in Plan Bay Area.
- The Region's Score 16 transit capital replacement and rehabilitation needs between FY 2013 and FY 2040 will not exceed \$32.7 billion as anticipated in Plan Bay Area.

Should these assumptions, including the cost of the PROJECT, change substantively over time, the terms of this PHASE 1 FUNDING PLAN will be re-examined and an alternate approach will be agreed to by MTC and BART that could include extending the timing of fund commitments, seeking alternate fund sources, or other actions.

**4. BART Share of Project Costs**

Consistent with Plan Bay Area and Resolution No. 3918, BART will cover approximately \$298 million, or about 25%, of the \$1.2 billion PHASE 1 FUNDING PLAN costs. This includes High Speed Rail funds and BART operating revenues dedicated to the PROJECT through FY 2019. If necessary, BART will either direct future BART-controlled revenue, such as State Transit Assistance Revenue-Based funds, after meeting revenue sharing and coordination expenses, or raise additional funds through General Obligation bonds, parcel taxes, fare increases or other means to help fund its share of PROJECT costs and/or fixed guideway needs. If necessary, BART can meet this commitment, in whole or in part, by funding a larger share of its fixed guideway capital needs, and reducing the need for regional investments in BART's fixed guideway needs below the level currently projected in Plan Bay Area.

Date: December 18, 2013  
 W.I.: 1512  
 Referred by: PAC  
 Revised: 01/27/16-C

Attachment B  
 Resolution No. 4126  
 Page 1 of 1

## PHASE 1 FUNDING PLAN FOR BART CAR REPLACEMENT PROGRAM

### BART Car Replacement Project Phase 1 Preliminary Funding Plan Summary \$000

Funding Source	Prior to FY16	FY16 - FY19	Total
<b>MTC Funding</b>			
FTA Formula Programs	370,189	250,811	621,000
FHWA Regional Discretionary Programs	97,474	2,526	100,000
AB 664 Bridge Tolls & BATA Project Savings	-	150,000	150,000
Subtotal MTC Funding *	467,663	403,337	871,000
BART Funding	204,900	93,100	298,000
<b>Total Funding</b>	<b>672,563</b>	<b>496,437</b>	<b>1,169,000</b>

\* MTC Fundng includes programming to other BART projects in exchange for BART funds deposited into the BART Car Replacement Funding Exchange Account, and earnings credited to the account.

# APPENDIX A – 33

## *Regional Policies: Project Funding and Specific Funding Programs*

**Transit Core Capacity Challenge Grant Program  
for High-Priority Transit Capital Projects  
Between FY 2014-15 and FY 2029-30  
MTC Resolution No. 4123**



Date: December 18, 2013  
W.I.: 1512  
Referred by: PAC  
Revised: 01/27/16-C

ABSTRACT

Resolution No. 4123, Revised

This resolution establishes an investment plan for MTC's Transit Core Capacity Challenge Grant Program that targets federal, state, and regional funds to high-priority transit capital projects between FY2014-15 and FY2029-30.

This resolution includes the following attachments:

- A – Funding Plan and Revenue Sources and Assumptions
- B – Project Descriptions
- C – Terms and Conditions

This resolution was revised by the Commission on January 27, 2016 to revise the funding plan for the BART Rail Car project by increasing the commitment of FTA/STP funds by \$150 million and reducing the commitment of AB 664 Bridge Tolls and BATA Project Savings by a total of \$150 million. The revision also corrected a typographical error in the funding plan table in Attachment A concerning the number of BART Cars included in the program.

Further discussion of these actions is contained in the Programming and Allocations memorandum dated November 13, 2013 and Summary Sheets dated December 11, 2013 and January 13, 2016.



Date: December 18, 2013  
W.I.: 1512  
Referred by: PAC

RE: Transit Core Capacity Challenge Grant Program

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4123

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, the San Francisco Bay Area Rapid Transit District (BART) is a rapid transit district providing rail transit service in the San Francisco Bay Area; and

WHEREAS, the San Francisco Municipal Transportation Agency (SFMTA) provides bus, trolley, light rail, and cable car/historic rail car service in the City of San Francisco, California; and

WHEREAS, the Alameda-Contra Costa Transit District (AC Transit) is constituted as a special district under California law and is an Oakland based public transit agency serving the western portions of Alameda and Contra Costa counties in the San Francisco Bay Area; and

WHEREAS, Plan Bay Area (“Plan”), the region’s long-range transportation and housing plan adopted by MTC, provides the planning foundation for transportation improvements and regional growth throughout the San Francisco Bay Area through 2040; and

WHEREAS, the Plan’s in-fill and transit-oriented growth strategy relies on a well-maintained and robust transit system to meet greenhouse gas emissions reduction targets and other Plan performance objectives; and

WHEREAS, the Plan identifies a total funding need of \$47 billion over nearly three decades to achieve an optimal state of repair for the region’s public transit network; and

WHEREAS, the Core Capacity Challenge Grant Program (“the Program”) addresses funding for transit capital replacement and rehabilitation needs as well as for key transit infrastructure enhancements needed to support future transit service expansion for AC Transit, BART and SFMTA; and

WHEREAS, the Program targets federal, state and regional funds to high-priority transit capital projects for AC transit, BART and SFMTA; and

WHEREAS, federal, state and regional funds will continue to be required to finance the Program including those funds which are reasonably expected to be available under current conditions, and new funds which need to be secured in the future through advocacy with state and federal legislatures and the electorate; now therefore be it

RESOLVED, that the Core Capacity Challenge Grant Program is a comprehensive funding strategy of local, regional, state and federal funding sources as outlined in Attachment A, attached hereto and incorporated herein as though set forth at length; and, be it further


RESOLVED, that MTC’s commitment of funding for the Program is limited to the total amount of MTC funding shown in Attachment A; and be it further

RESOLVED, that MTC agrees to program Federal Transit Administration (FTA) and Federal Highway Administration (FHWA) funds as set forth in Attachment A in a timely manner in order to meet cash flow needs and minimize financing costs, subject to Congressional authorization and appropriation of funds, and MTC’s ability to meet other critical regional transit capital needs; and be it further

RESOLVED, that Attachment B lists the descriptions of the AC Transit, BART and SFMTA projects that will be funded under the Program; and be it further

RESOLVED, that the funding commitments included in Attachment A are subject to the terms and conditions outlined in Attachment C, attached hereto and incorporated herein as though set forth at length.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Amy Rein Worth, Chair

The above resolution was entered into by the  
Metropolitan Transportation Commission  
at a regular meeting of the Commission held  
in Oakland, California, on December 18, 2013

### Attachment A Core Capacity Challenge Grants - Funding Plan (\$ Millions)

Project	Project Cost	Proposed Local \$					Funding Sources for Remaining Need					Total Funding
		BART	SFMTA	AL/CC Sales Tax/Parcel Tax	VTA	FTA/STP	AB664 Bridge Tolls	BATA Project Savings	SFO Net Op Revenue	Cap & Trade	Core Capacity New Starts	
BART Rail Cars (463 cars beyond current funding commitment)	1,521	393				893		15	145	75		1,521
BART Train Control	700	267				163				126	144	700
BART Hayward Maint. Center	433	258		175								433
<b>Subtotal BART</b>	<b>2,654</b>	<b>918</b>	-	175	175	1,056	-	15	145	201	144	<b>2,654</b>
SFMTA Fleet Replacement	2,644		770			1,746	44	84				2,644
SFMTA Fleet Enhance & Expand	648		248							400		648
SFMTA Facilities Core Improvements	209		142							67		209
<b>Subtotal SFMTA (2)</b>	<b>3,502</b>	-	<b>1,160</b>	-	-	<b>1,746</b>	<b>44</b>	<b>84</b>	-	<b>467</b>	-	<b>3,502</b>
AC Transit Fleet Replacement	780					477	25	83				780
AC Transit Fleet Expansion	90					5				45		90
AC Transit Facility Rep/Rehab	268					106				162		268
<b>Subtotal AC Transit</b>	<b>1,138</b>	-	-	-	-	<b>481</b>	<b>25</b>	<b>83</b>	-	<b>207</b>	-	<b>1,138</b>
<b>Financing</b>	<b>200</b>					<b>200</b>						<b>200</b>
<b>TOTAL</b>	<b>7,494</b>	<b>918</b>	<b>1,160</b>	<b>341</b>	<b>175</b>	<b>3,483</b>	<b>70</b>	<b>182</b>	<b>145</b>	<b>875</b>	<b>144</b>	<b>7,494</b>

(1) Funding sources for BART Rail Cars were revised by Commission in January 2016 to redirect \$150 million of AB664 Bridge Tolls and BATA Project Savings to the BART Car Phase 1 Funding Plan (MTC Res. 4126), and to replace the bridge tolls with \$150 million of OBAG 2 STP/CMAQ funds transferred from the Phase 1 funding plan.

(2) SFMTA cost estimates adjusted to use regional cost estimates for buses and LRVs, and converted to year-of-expenditure dollars

## **Attachment A Revenue Sources and Assumptions**

- Local Funding:
  - BART: For BART, the approximately \$900 million local contribution is comprised of fare revenue and Proposition 1A High Speed Rail connecting operator funds approved for the rail car replacement project. In addition, \$175 million in funding will be provided by the Santa Clara Valley Transit Authority as part of their agreement to contribute to core capacity projects, as BART will soon extend into Santa Clara County and its residents will also benefit from these projects.
  - SFMTA: For SFMTA, the nearly \$1.2 billion in local revenues include existing sales tax and revenue bonds as well as anticipated future sales tax, vehicle license fee, and general obligation bonds. A task force has been convened by the San Francisco Mayor's Office and will be finalizing its recommendations by the close of 2013 with the expectation of going to the ballot in 2014 and 2016 to support this local contribution.
  - AC Transit: For AC Transit, the assumed local contribution of \$340 million would come from a portion of future Alameda County and Contra Costa sales tax measures and/or parcel tax augmentations for AC Transit operations and maintenance needs.
  
- Regional/Other Funding:
  - FTA/STP Funds: The program assumes \$3.5 billion in FTA formula and STP funds. These funds have historically supported transit capital replacement through the Transit Capital Priorities process. Generally, the program timeframe has been 2 to 3 years in duration. The proposed Core Capacity Challenge Grant Program investment strategy would extend the commitment for the identified projects to 15 years. The program would also accelerate FTA and STP funds availability through financing as needed; roughly \$200 million is assumed to pay for financing for timely delivery of this aggressive capital program. The proposal acknowledges the needs of other transit operators in the region by retaining an estimated 33% of expected FTA formula funds for the remaining operators. The proposal also retains funding for the BART Car Phase 1 and on-going fixed guideway priorities for rail and ferry operators. A portion of the federal funds for the BART Railcar Replacement and Expansion project may be programmed to BART's preventive maintenance or another capital project and exchanged for BART local funds deposited into the BART Railcar Replacement Funding

Exchange Account, depending on the cash flow needs of the project. The table below provides more detail.

Projected FTA/STP Revenues 2015-2030:	\$	7,549	
Core Capacity Challenge Grants	\$	3,283	43%
Core Capacity Financing Costs	\$	200	3%
BART & SFMTA Fixed Guideway Caps	\$	1,235	16%
Remaining BART Car Phase 1 Commitment	\$	331	4%
Other Operators	\$	2,500	33%
Total	\$	7,549	100%

- AB664 Funds: The program assumes \$70 million in AB664 bridge toll funds. These funds have historically supported transit capital replacement by contributing towards local matching funds for eligible operators in the Transit Capital Priorities process. Generally, the funds are programmed annually. The proposed Core Capacity Challenge Grant Program investment strategy would extend the commitment for the identified projects to 15 years, and would accelerate availability of these toll funds by frontloading AB664 revenues that are available as part of a Bay Area Toll Authority (BATA) revenue transfer to MTC in 2010.
- BATA Project Savings: With the completion of the Regional Measure 1 highway and bridge projects and the opening of the New East Span of the Bay Bridge, BATA project savings are proposed to be directed to the Core Capacity Challenge Grant Program. Staff has determined that these transit projects are eligible bridge improvement projects because they will improve functioning or use of one or more of the state-owned bridges. As such, these project expenditures, in an amount of \$250 million, are proposed to be added to BATA's long-range plan and budget. The total includes approximately \$182 million for Core Capacity Challenge Grant Program projects and \$68 million for the BART Rail Car Replacement Phase 1 project (MTC Resolution 4126, Revised).
- SFO Net Operating Revenues: A commitment dating from 1988 and the first rail extension agreement, MTC Resolution 1876, directs \$145 million of the net operating surplus generated by the San Francisco International Airport (SFO) BART Extension to fulfill the remaining SamTrans' capital contribution to the BART system, for the Warm Springs Extension. This proposal would direct these funds to BART's rail car purchase project, which includes rail cars for the Warm Springs extension project. The Warm Springs construction costs were met through other regional funding contributions as part of the 2008 MTC Resolution 3434 Strategic Plan. SFO Net Operating Revenue satisfies SamTrans buy-in to the BART District originally dedicated to the BART to Warm Springs project.

- Cap and Trade Revenues: AB 574 (Lowenthal) seeks to reserve California Cap and Trade allowance revenue from transportation fuels for transportation-related expenditures. Plan Bay Area included an estimated \$3.1 billion over the 28-year period as available to the region. While the distribution of funds to the MPO's has not yet been finalized, a draft framework and set of principles for Cap and Trade revenues, including \$875 million for the Core Capacity Challenge Grant program, has been proposed and is pending Commission approval.
- FTA New Starts Core Capacity: With the enactment of MAP-21, this new category of eligible projects was added to the New Starts Program. Projects eligible for this funding must expand capacity by at least 10% in existing fixed-guideway transit corridors that are already at or above capacity today, or are expected to be at or above capacity within five years. As part of Plan Bay Area's investment strategy, a reserve of \$660 million in New Starts was established for future East Bay and North Bay projects. BART's train control project aligns well with the intent of this new category of FTA competitive funding and the direction outlined in Plan Bay Area.

Date: December 18, 2013  
W.I.: 1512  
Referred by: PAC

Attachment B  
Resolution No. 4123  
Page 1 of 3

## **Attachment B Project Descriptions**

### **BART**

BART Railcar Replacement and Expansion includes the purchase of 463 new cars, which, together with previously committed funding, would bring BART's fleet to a total of 873 cars: 669 to replace the current fleet, 91 to increase core capacity, 30 for the Warm Springs extension, 60 for the Berryessa extension, and 23 for the extension to San Jose/Santa Clara. The 23 cars for the Silicon Valley extension is subject to the availability of \$75 million in Cap and Trade funding. 350 of the 669 replacement cars are being funded under MTC Resolution No. 4126 and the 60 cars for the Berryessa extension are being funded by VTA through an agreement with BART. The \$1.52 billion cost is in addition to the \$1.38 billion already committed to the project, including \$871 million in regional funding. A portion of the federal funds for the BART Railcar Replacement and Expansion project may be programmed to BART's preventive maintenance or another capital project and exchanged for BART local funds deposited into the BART Railcar Replacement Funding Exchange Account, depending on the cash flow needs of the project. BART's current fleet is either already overdue or due for replacement by 2019.

BART Train Control System involves implementing a new train control system. The current system is aging and needs replacement to restore and retain reliability. A new train control system would increase peak period/peak direction throughput and allow BART to expand its fleet to meet future demand while maintaining service reliability.

BART Hayward Maintenance Center includes improvements to expand the current Hayward Yard by adding storage and transfer/access tracks on the existing BART property and a primary shop, a vehicle-level overhaul shop, a component repair shop, a central warehouse and an expanded shop and storage facility. This project is needed to store and service BART's expanded fleet and will serve as the primary maintenance shop and storage yard for the Berryessa extension fleet.



## **SFMTA**

SFMTA Fleet Replacement includes replacement of all of SFMTA's vehicles as they reach the end of their useful lives between 2016 and 2030. SFMTA's fleet includes 494 buses, 333 trolleys, 151 light rail vehicles, and 67 paratransit vans. Also included in the project is approximately \$300 million for mid-life overhauls to extend vehicle service life and maintain reliability, and the costs of rehabilitating Muni's cable car and historic streetcar fleets.

SFMTA Fleet Enhancement & Expansion expands Muni's light rail vehicle fleet by 74 cars: 24 for the Central Subway extension and 50 to increase capacity on existing lines. The project would also fund an additional 110 60' articulated buses and the increased cost for replacing 42 40' buses and trolleys with 60' articulated buses and 60' trolleys to increase capacity on high-ridership routes, and the installation of video and data collection systems on Muni vehicles.

SFMTA Facilities Core Improvements provides for the renovation of ageing, overcrowded, and inefficient facilities and the improvements needed to address current and future needs, such as:

- Muni Metro East (MME) Maintenance Facility – construction of a centralized paint and body shop to allow for operational flexibility and added repair bay capacity at Woods Maintenance Facility.
- Burke Central Parts Warehouse – improved retrieval time and productivity through use of high efficiency racking systems and improvements to extend the shelf life of parts and components stored in the facility.
- Woods Maintenance Facility – added repair bay capacity and flexibility to accommodate articulated buses; improvements to extend life of the facility and fully utilize its space efficiently to improve productivity.

## **AC Transit**

AC Transit Fleet Replacement consists of replacement of all of AC Transit's buses as they reach the end of their useful lives between 2015 and 2030. AC Transit's fleet replacement needs during this period include 150 40' standard transit buses, 57 60' articulated buses, 91 30' buses, 67 40' suburban transit buses, and 39 45' over-the-road coaches.

AC Transit Fleet Expansion includes procurement of 79 Diesel Electric Hybrid buses to implement the service expansions called for under AC Transit's Comprehensive Operations Analysis.

AC Transit Facility Replacement & Rehabilitation includes replacement of equipment such as communications and navigation systems, bus lifts, fuel islands, bus washers, waste treatment systems, and underground storage tanks at AC Transit's maintenance and operations facilities as

the equipment reaches the end of its useful life. The funding would also allow for re-opening of the Richmond Maintenance Facility.

Date: December 18, 2013  
W.I.: 1512  
Referred by: PAC

Attachment C  
Resolution No. 4123  
Page 1 of 2

## **Attachment C Terms and Conditions**

### General Terms

- a) Continue Transit Capital Priorities Process for Other Operators: The FTA revenue assumption acknowledges the needs of other operators in the region by retaining an estimated 33% of expected FTA formula funds for the remaining operators and only commits an estimated 42% of expected FTA formula funds to this program. This percentage attempts to hold all the other operators harmless and retains funding for on-going fixed guideway priorities for rail and ferry operators based on projection of past needs.
- b) Revenues Availability: MTC agrees to program Federal Transit Administration (FTA) and Federal Highway Administration (FHWA) funds as set forth in Attachment A in a timely manner in order to meet cash flow needs and minimize financing costs, subject to Congressional authorization and appropriation of funds, and MTC's ability to meet other critical regional transit capital needs. MTC may substitute other available MTC-controlled funds in place of available FTA funds specified in the Program.
- c) Strategic Review: A strategic review of the Core Capacity Challenge Grant program will be conducted at least every 5 years in order to monitor operator project delivery and local contributions. This will also allow staff to address any changes in the demand for capital projects or the revenue landscape.

### Operator Conditions

- a) Local Match Contributions: In order to qualify for challenge grant funding, AC Transit, BART and SFMTA are required to provide a minimum of 30% matching funds overall, and at least 25% for fleet replacement projects. The operators will be required to provide to MTC a board-approved commitment of local match dollars before the Program funds are programmed and allocated to them.
- b) Compliance with TSP Performance Metrics: Plan Bay Area assumed that the recommendations of the Transit Sustainability Project would be implemented to complement cost control and service improvements already implemented by the region's transit operators. In order to qualify for challenge grant funding, this proposal requires AC Transit, BART, and SFMTA to meet the Transit Sustainability Project's performance objectives outlined in MTC Resolution No. 4060 that call for a 5% real reduction in at least

one of three performance measures (cost per service hour, cost per passenger or cost per passenger mile) by FY2016-17 and no growth beyond CPI thereafter.

- c) Compliance with Funding Requirements: AC Transit, BART and SFMTA are required to comply with all the applicable local, state, and federal requirements for funds programmed by MTC.
- d) Cash flow Needs and Updates: AC Transit, BART and SFMTA are required to provide MTC with an initial cash flow before the program funds are programmed and allocated to them; and update MTC whenever there are significant changes to the cash flow or annually at a minimum.

# **APPENDIX A – 34**

## ***Regional Policies: Project Funding and Specific Funding Programs***

**Policies and Procedures for the Regional Traffic Relief  
Plan of Regional Measure 2 (RM2)**

**MTC Resolution No. 3636**



Date: June 23, 2004  
W.I.: 1255  
Referred by: PAC  
Revised: 11/17/04-C 09/21/05-C  
03/28/07-C 05/28/08-C  
04/22/09-C 04/28/10-C

ABSTRACT

Resolution No. 3636, Revised

This resolution adopts the policies and procedures for the Regional Traffic Relief Plan of Regional Measure 2 (RM2), included in Attachment A, *Regional Measure 2 Regional Traffic Relief Plan Policies and Procedures* (with attachments).

This Resolution was revised on November 17, 2004 to add the performance measures for transit operating projects and to make technical changes to the Regional Measure 2 Policies and Procedures.

This Resolution was revised on September 21, 2005 to modify the eligible costs for project sponsors and implementing agencies, clarify transit vehicle purchase requirements, modify progress reporting requirements and frequency, and make minor technical changes.

This Resolution was revised on May 28, 2007 to make clarifications to the invoicing procedures, modify timely use of funds requirements, add project close out procedures, and make minor technical changes.

This Resolution was revised on May 28, 2008 to make changes to the invoicing and reimbursements section and the allocation budget plan section of the IPR format, and make minor technical changes.

This Resolution was revised on April 22, 2009 to make technical changes to reflect the present conditions of the program and make changes to the invoicing and reimbursements section.

This Resolution was revised on April 28, 2010 to make technical changes to reflect the present conditions of the program and incorporate the recent changes in invoicing processes.

Additional discussion of this Resolution is available in the Executive Director's memoranda to the Programming and Allocations Committee dated June 9, 2004 and November 10, 2004, and the Summary Sheet dated September 14, 2005, May 14, 2008, April 8, 2009 and April 14, 2010.

Date: June 23, 2004  
W.I.: 1255  
Referred By: PAC

RE: Policy and Procedures for Implementation of the Regional Traffic Relief Plan of Regional Measure 2 (RM 2)

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 3636

WHEREAS, pursuant to Government Code Section 66500 *et seq.*, the Metropolitan Transportation Commission ("MTC") is the regional transportation planning agency for the San Francisco Bay Area; and

WHEREAS, Streets and Highways Code Sections 30950 *et seq.* created the Bay Area Toll Authority ("BATA"), which is a public instrumentality governed by the same board as that governing MTC; and

WHEREAS, on March 2, 2004, voters approved Regional Measure 2, which increased the toll for all vehicles on the nine State-owned toll bridges in the San Francisco Bay Area by \$1.00, with this extra dollar funding various transportation projects within the region that have been determined to reduce congestion or to make improvements to travel in the toll bridge corridors, as identified in SB 916 (Chapter 715, Statutes of 2004), commonly referred as Regional Measure 2 ("RM 2"); and

WHEREAS, RM 2 establishes the Regional Traffic Relief Plan and identifies specific capital projects and programs and transit operating assistance eligible to receive RM2 funding as identified in Sections 30914(c) & (d) of the California Streets and Highways Code; and

WHEREAS, BATA shall fund the projects of the Regional Traffic Relief Plan by bonding or transfers to MTC; and


WHEREAS, RM 2 assigns administrative duties and responsibilities for the implementation of the Regional Traffic Relief Plan to MTC; and

WHEREAS, MTC has developed policies and procedures for the implementation of the Regional Traffic Relief Plan as set forth in Attachment A to this Resolution, attached hereto and incorporated herein as though set out in full; now, therefore be it

RESOLVED, that MTC hereby adopts the attached policy and procedure for the implementation of the Regional Measure 2 Regional Traffic Relief Plan as set forth in Attachment A; and, be it further

RESOLVED, that the Executive Director is hereby delegated the ability to make non-substantive changes to Attachment A as he deems appropriate to implement the Regional Traffic Relief Plan.

METROPOLITAN TRANSPORTATION COMMISSION

  
\_\_\_\_\_  
Steve Kinsey, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on June 23, 2004



Date: June 23, 2004  
W.I.: 1255  
Referred by: PAC  
Revised: 11/17/04-C 09/21/05-C  
03/28/07-C 05/28/08-C  
04/22/09-C 04/28/10-C

# **Regional Measure 2 Regional Traffic Relief Plan Policies and Procedures**

**Amended April 28, 2010**

**MTC Resolution No. 3636  
Attachment A**

**Metropolitan Transportation Commission**

**Programming and Allocations Section**  
<http://www.mtc.ca.gov>

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## SECTION 1 – GENERAL PROVISIONS

### **BACKGROUND**

On March 2, 2004, voters passed Regional Measure 2 (RM2), raising the toll for all vehicles on the seven State-owned toll bridges in the San Francisco Bay Area, by \$1.00. This extra dollar is to fund various transportation projects within the region that have been determined to reduce congestion or to make improvements to travel in the toll bridge corridors, as identified in SB 916 (Chapter 715, Statutes of 2004). Specifically, RM2 establishes the Regional Traffic Relief Plan and identifies specific capital projects and programs and transit operating assistance eligible to receive RM2 funding as identified in Sections 30914(c) & (d) of the California Streets and Highways Code.

The following serve as the general provisions in the management of RM2 funding.

Note: Some of the projects identified in the Regional Traffic Relief Plan (RM2 projects), include complementary bridge toll funds (specifically RM1, AB1171) to complete their project funding plan. The administration of the bridge toll funds in these cases will also be governed by this resolution, unless otherwise stated in the allocating resolution.

### **FUND MANAGEMENT**

The collection of toll revenue is estimated to equal \$113 million annually. Costs to administer the program are an annual drawdown on the revenue and an annual limit of up to 38 percent, for the RM2 operation projects. Available revenue for capital allocations will vary annually and capital allocations will be approved with respect to the fund management of the overall program. Final allocation decisions will be subject to the availability of funds. Finally, first year costs (FY 2004-05) include the required reimbursements to counties for the costs of administering the RM2 ballot measure as part of the March 2nd 2004 general election, as well as the 4-month discount from July 2004 through October 2004 to encourage more users to sign up for FasTrak®, the Bay Area's electronic toll collection system.

#### **Program Financing Costs**

It is the intent of the Commission to implement those projects and programs outlined in Streets and Highways Code Section 30914 (c) and (d), to the funding amounts designated. The cost of bonding and financing associated with RM2, including interest payments shall be considered a program cost and shall be identified in the annual RM2 Budget as the first priority repayment. The financing costs are not expected to reduce the overall funding level available to projects and programs.

#### **Funding Exchanges**

Generally, the exchange of RM2 funding with other types of funding from projects not identified in RM2 shall not be allowed, nor shall projects be substituted.

#### **Matching Funds**

A local match is not required for RM2 funds. Complementary funds (non-RM2 funds), for the project phase where RM2 funds are being requested and identified in the financial plan must be available at the time of allocation. Regional Measure 2 funds can be used as the match for federal fund sources requiring a non-federal match.

## **PUBLIC INVOLVEMENT PROCESS**

The capital improvement projects and operating assistance for transit services identified for funding in RM2 are established by state legislation (Senate Bill 916, Chapter 715, Statutes of 2004) approved by the voters on March 2, 2004. In accordance with the legislation as approved by the voters, the Bay Area Toll Authority (BATA) is the financial manager for RM2 funds, whose responsibilities include the preparation of financial plans, the issuance of debt financing, and the disbursement of funds to project sponsors. The Metropolitan Transportation Commission (MTC) is the program and project coordinator, whose responsibilities include reviewing project applications, programming and allocating funds to specific projects, and monitoring project delivery. In some cases, MTC also serves as the project sponsor, for the regional Transit Connectivity Study, as well as certain regional customer service projects, such as the Transit Commuter Benefits promotion, the Real Time Transit information program, and implementation of TransLink®.

Generally, in conducting its review and approval responsibilities stipulated under RM2, MTC will adhere to its public participation policies as outlined in MTC Resolution No. 3821 MTC's Policy and Procedures on Public Involvement.

Specific statutory provisions require further that as part of its assessment of the status of programs and projects under RM2, MTC may make a finding that a program or project cannot be completed or cannot continue due to financing or delivery obstacles making the continuation of the program or project unrealistic, or that a project may be funded using non-RM2 funds. MTC may then determine that the funding will be reassigned. Under these circumstances, the Commission shall hold a public hearing on the project after consultation with the program or project sponsor. The process outlined in MTC's Policy and Procedures on Public Involvement for notification of actions at BATA, Commission, and committee meetings will be adhered to. After the hearing, the Commission may vote to modify the program or the project's scope, decrease its level of funding, or reassign all of the funds to another or an additional regional program or project in the same corridor.

## **COMPLIANCE WITH OTHER REQUIREMENTS**

It is the responsibility of project sponsors to ensure their agency's compliance with all applicable local, state, and federal requirements.

## **INDEMNIFICATION OF MTC**

The sponsor shall indemnify and hold harmless MTC, its Commissioners, officers, agents, and employees from any and all claims, demands, suits, loss, damages, injury, and/or liability, direct or indirect, incurred by reason of any act or omission of sponsor, its officers, agents, employees, and subcontractors, under or in connection with the RM2 program. Sponsor agrees at its own cost, expense, and risk, to defend any and all claims, actions, suits, or other legal proceedings brought or instituted against MTC, its Commissioners, officers, agents, and employees, or any of them, arising out of such act or omission, and to pay and satisfy any resulting judgments.

## **SECTION 2 – CAPITAL PROGRAM GUIDANCE**

### **BACKGROUND**

Projects eligible to receive funding from the Capital Program of the Regional Measure 2 (RM2) Regional Traffic Relief Plan are those projects identified to receive funding under Section 30914(c) of the California Streets and Highways Code (S&HC). Sponsors are required to submit an initial report to establish the baseline project data. These reports are the backbone of the allocation and funding agreements for the capital projects. The capital program is managed in a manner where allocations are approved based upon project sponsor need and readiness and the availability of funding in the bridge toll program. MTC's goal is to carry out the intent of the legislation and ensure that projects are delivered within the investments of the toll payers.

### **CAPITAL PROJECT DEFINITION**

#### **Initial Project Report (IPR)**

Project sponsors with projects identified to receive funding under Section 30914(c) of the S&HC are required to submit an Initial Project Report (IPR) to MTC before July 1, 2004. An updated report must be submitted as needed or as requested by MTC; at a minimum, sponsors must submit an updated IPR with any funding allocation request. The Commission will consider approval of the report, or updated report, in conjunction with the allocation of funds.

This report shall include all information required to describe the project in detail, including identification of lead sponsor, the status of any environmental documents relevant to the project, additional funds required to fully fund the project, the amount, if any, of funds expended to date, a summary of any impediments to the completion of the project and a detailed financial plan. Specific information on the Initial Project Report format is included in Appendix A.

#### **Useable Segment/ Deliverable Product**

RM2 funds for capital projects will be allocated with the specific intent of achieving a product. Deliverable products shall be considered as:

- A completed planning or transit study/ environmental decision/ project approval documentation when allocating to the environmental phase;
- The final design package including contract documents when allocating to the final design phase;
- Title to property/ easements/ rights of entry / possession or utility relocation when allocating to the right of way phase;
- A completely constructed improvement (or vehicle acquisition/ rehabilitation) available for public usage when allocating to the construction phase.

The expenditure of RM2 funds for any phase of the project should lead to making available to the public a useable or operable segment in accordance with the legislative intent. Any additional funds required to fully fund the project must be identified in the uncommitted funding plan of the Initial Project Report (IPR). If the RM2 revenues are funding only a phase or segment of a larger project, it must be demonstrated that the RM2 deliverable phase or segment is fully funded with committed funds.

#### **Project Phases**

Project costs and revenue must be separated into the following project phases:

1. Planning Activities, Environmental Studies & Preliminary Eng (ENV / PE / PA&ED)
2. Final Design - Plans, Specifications and Estimates (PS&E)
3. Right-of-Way Activities /Acquisition / Utility Relocation (R/W)
4. Construction / Rolling Stock Acquisition / Operating Service (CON)

(Planning studies should be categorized under the environmental phase. Vehicle acquisition or equipment purchase should be categorized under the construction phase.)

The project sponsor must display the project in these four components in the Initial Project Report and expenditure (cash flow) plans. If the project sponsors intend to use alternate delivery methods, such as but not limited to: design/build/operate/maintain, the preparation of the Request for Proposal is considered Final Design phase. The Alternate Delivery package is considered the Construction phase.

### **ALLOCATION AND FUNDING AGREEMENT PROCESS**

The allocation process for RM2 capital projects shall also serve as the process for executing funding agreements, in most cases in lieu of a separate funding agreement for each capital project. These agreements are fully executed through a process of project sponsor governing board certification followed by Commission allocation action. Notwithstanding, under S&HC 30914(e), MTC has the option of entering into a memorandum of understanding between itself and a capital project sponsor addressing specific requirements to be met prior to or after the allocation of funds.

An IPR for capital projects, as outlined in S&HC 30914(e) and detailed in Appendix A and B, shall be prepared and adopted by the appropriate governing board\* prior to MTC approval of the IPR and allocation of funds. The sponsor is expected to certify, through an action of its governing board, that certain conditions (general and project specific) are acknowledged and will be adhered to and compliance with the RM2 Policies and Procedures. Along with the certification of conditions from the project sponsor governing board and the IPR, the sponsor will need to provide evidence that the other fund sources contributing toward that project phase are committed. It is recommended that the sponsors submit the allocation request to MTC staff for review sixty days prior to the action by their governing board.

Upon completion of the lead sponsor governing board certification, the Commission will consider the allocation of RM2 funds. An allocation request is considered complete and ready for Commission consideration when all of the component elements to the request are submitted and approved by MTC staff. The Commission's resolution approving the allocation of RM2 funds, based on staff's review of the IPR and corresponding allocation package, will serve as an agreement between MTC and the implementing agency and may include project specific conditions. Where the Commission approves an amount less than the sponsor requested, the Commission allocation amount prevails. Reimbursement of funds is subject to meeting the conditions as stipulated in the MTC allocating resolution. \*Approval and adoption of the IPR and corresponding allocation package by a sponsoring agency staff is acceptable if their board has approved a resolution authorizing and directing staff to execute documents and take actions necessary to meet MTC requirements. A copy of such a resolution must be provided to MTC prior to Commission action.



### Allocation Principles

For the capital program, allocations will be considered as requested and final allocation decisions will be subject to the availability of funds in the overall RM2 program (capital and operating elements). The Commission will carefully consider each allocation and apply the following principles in its allocation decisions:

- 1. Replacement Fund Source Not Allowed.** RM2 funds will not be utilized as a replacement fund source on capital projects for any funds that have been programmed or allocated previously to the project, for the phase requested by the project sponsor, if such replacement results in a shortfall for the overall project or places prior programming commitments in jeopardy.
- 2. Required Evidence of a Fully Funded Project Phase.** The Commission will allocate funds for capital projects only if it finds that the project phase is fully funded, either entirely with RM2 funds or with a combination of RM2 funds and other allocated funds. To receive an allocation of RM2 funds for a jointly funded phase, the other contributing funds must be approved, authorized, assigned and allocated to that phase of work by the authorizing authority. At the request of the project sponsor, the Commission may, on an exception basis, consider allocations of RM2 funding conditioned on the allocation of other funds for that phase. In granting conditional allocations, the Commission will consider the nature and timing of other funding commitments to the requested and future phases of work.
- 3. Phase at a Time Allocations.** Allocations will only be made to projects one phase at a time: environmental/project approval, final design, right of way, and construction. Exceptions will be considered on a case-by-case basis; however, the Commission will strive to minimize funding risks in making allocation exceptions. Also, requests to modify task budgets within approved allocation levels must be approved in writing, in advance by MTC staff. However, multiple phases may proceed at the same time.
- 4. Environmental Clearance.** RM2 funds will not be utilized for any capital expenditure, either for right of way or construction, until the project has been environmentally cleared and approved by the project sponsor. Pursuant to California Environmental Quality Act Public Resources Code §21000, et seq., all applicants are required to submit a valid environmental document that has been certified by the County Clerk for each project. Please refer to Public Resources Code and Title 14 of the California Code of Regulations for more information. Applicants are urged to refer to the statutory and regulatory sections cited when preparing any environmental assessment under CEQA or NEPA. Applicants should consult their environmental officer for guidance in completion of this requirement. If a project is federally funded or is anticipated to be federally funded, project sponsors must submit approved National Environmental Protection Act documents.
- 5. Conditions of Right of Way Allocations.** RM2 funds will be allocated for right of way capital and support only after the project has identified and committed construction capital funds. The Commission will consider exceptions whereupon investment in right of way can be recovered if the project does not go forward. If the Commission approves an allocation of RM2 funds for advance acquisition of right of way meeting the

conditions as outlined above, the project sponsor shall provide that the land is held in escrow until project approval occurs for the transportation improvement. Advance acquisitions made prior to completion of environmental and location processes are not to influence environmental assessment of the project. Note that there are federal and state laws, regulations and policies governing acquisition and relocation activities. It is not intended that the use of RM2 funds shall waive any of the laws, regulations, or policies that may apply.

6. **Deliverable Product.** RM2 funds will be allocated with the specific intent of achieving a deliverable product. The ability of the product to be completed will be taken into consideration when the Commission allocates funds to the project. Any impediments to achieving the specific product shall be brought to the attention to the Commission in the Initial Project Report and through progress reports submitted by the project sponsor. If in the opinion of the Commission, impediments are such that the required product is unachievable, the Commission may withhold allocations, rescind allocations or withhold reimbursements on previously allocated funds. The Commission reserves the right to issue a 30-day stop notice in the event it has to reevaluate the project per S&HC 30914(f).
7. **Complementary Funds Consideration.** Projects with funding from other sources may be given priority if there are pending timely use of funds requirements on the other fund sources.
8. **Complementary Funds Spend Down Rate.** Other fund sources committed to a project phase that are complementary to RM2 funds will be expected to be spent down at an approximate proportional rate to RM2 funds. Exceptions and proposals to consider alternative cash flows from other fund sources must be approved in advance, in writing by MTC staff.
9. **Transit Operating Considerations.** For transit systems, an allocation of funds for capital expenditures, either right of way or construction, may be predicated on an ability to demonstrate that the service meets operating requirements.

### **Allocation Request Process**

Project sponsors or implementing agencies must initiate an allocation request by submitting a draft Initial Project Report and Sponsor/ Implementing Agency Resolution 60 days prior to the required Commission action. Thirty days prior to the Commission action, the project sponsor or implementing agency must submit the completed allocation application package to MTC. The allocation request consists of the following, detailed in Appendix A, and is available on the Internet (as applicable) at: <http://www.mtc.ca.gov>:

Intent to Request an Allocation (60 days prior to Commission action):

1. Draft Initial Project Report
2. Draft Sponsor/ Implementing Agency Resolution

Allocation Application Package (30 days prior to Commission action):

1. Sponsor/ Implementing Agency Resolution of Project Compliance
2. Opinion of Legal Counsel / MTC Indemnification\*

3. Board or Official Governing Body Approved Initial Project Report (IPR)
4. Environmental Documentation
5. Evidence of Allocation and Commitment of Complementary Funds

\* Project sponsors have the option of consolidating the ‘Opinion of Legal Counsel / MTC Indemnification’ within the ‘Implementing Agency Governing Board Resolution of Project Compliance’.

## **EXPENDITURES AND REIMBURSEMENTS**

### **Authority to Expend**

The project sponsor must obtain the Commission’s approval of the allocation and description of eligible costs prior to incurring costs. Project sponsors shall not receive reimbursement for costs incurred prior to MTC approval of the allocation of funding. Project sponsors shall proceed solely at their own risk in advertising, opening bids, or awarding a contract prior to an allocation of RM2 funds. The advertising, bid opening, or awarding of a contract by the sponsor shall in no way prejudice the Commission into making an allocation they deem unsuitable. Final allocation decisions will be subject to the availability of funds.

If a project or project component is ready for implementation earlier than RM2 funding is available, the sponsor may request an allocation of funds covering eligible expenditures but only with the full understanding that reimbursement will be deferred until RM2 funds are available in accordance with the approved allocation.

### **Eligible Expenses**

To ensure that RM2 funds are put to the most efficient use, limitations on allowable expenses have been placed on environmental, design, right of way, construction, staff support, oversight, consultant services and other aspects of project delivery. Furthermore, agency overhead costs, including administrative support, office equipment, and office leases, shall not exceed the cap as described under “Implementing Agency Costs” below.

Note that for all project phases, RM2 funds are limited to the statutorily authorized amount:

#### **1. Environmental Studies and Preliminary Engineering**

Expenses incurred by sponsor staff and consultant staff for environmental study costs, including determination of the appropriate environmental document, preparation of all preliminary engineering for each alternative, including geometric layouts, determination of right-of-way needs, environmental technical studies (such as air, noise, energy, cultural resources and hazardous waste), and all other studies or activities necessary to prepare and to finalize the appropriate environmental document for approval are eligible for reimbursement. Environmental costs eligible for reimbursement shall be limited to the project as described in S&HC Section 30914 (c). Any environmental costs associated with an element of the environmentally scoped project that is beyond the project scope and intent as outlined in S&HC 30914 (c) and approved by the Commission in the IPR is not eligible for reimbursement under RM2.

#### **2. Design Costs**

RM2 funds are eligible for expenses incurred by sponsor staff and consultant staff for design activities related to the project scope identified in S&HC 30914 (c) and as approved by the Commission in the IPR. These activities include but are not necessarily limited to, preparation of alternative design studies; materials and foundation reports; drainage, hydrology and hydraulic reports; management oversight; surveying and mapping; preparation of the plans, specifications and estimate; preparation of bid documents and files for project; preparation of permit applications and maintenance agreements; coordination of agency reviews and any other activities necessary to prepare final PS&E for bid advertisement and award.

### **3. Right-of-Way Acquisition and Utility Relocation**

RM2 funds are eligible for expenses incurred by sponsor staff and consultant staff for all activities related to right-of-way, advanced right-of-way, and hardship acquisitions, including determination of right-of-way needs; title searches; parcel appraisals; hazardous materials disposition; preparation of right-of-way acquisition documents; negotiation with property owners; activities involved with acquiring rights-of-way including condemnation proceedings, right-of-way capital costs, and cost-to-procure impacts related to the acquisition; utility relocation costs.

Services provided for right-of-way activities involved with the property but not necessary for the RM2 project as defined in the scope of work approved by the Commission in the IPR shall be at the expense of the sponsor and borne by non-RM2 fund sources.

If any excess right-of-way is sold, or otherwise disposed of, the value of such property shall be returned to MTC, including any profit realized from the sale of the property based on the prorated percentage of funds MTC contributed to the purchase of the property.

### **4. Construction Costs**

RM2 funds are available to cover all construction expenditures for the project including construction capital, management and inspection, surveys, public outreach, and others as appropriate that are part of the scope of work approved by the Commission in the IPR. RM2 funds are eligible for reimbursement of sponsor's management oversight expenses associated with the construction of the project. This would include activities such as construction management, inspection, expenses associated with reviewing proposed change orders, and activities involved with managing the fund sources contributing to the project.

Any questions regarding eligible costs will be resolved in writing by MTC staff.

Capital improvements and vehicle procurements for the implementation of the approved RM2 projects are eligible for construction funds. Vehicles procured with RM2 funds must be operated in revenue service for their useful life, as defined by MTC's Transit Capital Priorities process and criteria program.

### **5. Project Sponsor/ Implementing Agency Costs**

The amount for which the project sponsor/implementing agency can be reimbursed will be limited, as described below. In all cases, project sponsor/ implementing agency costs will be reimbursed within the cap of project funds stipulated in RM2. These changes are applicable to expenses beginning July 1, 2005. Prior to July 1, 2005, overhead expenses are not eligible for reimbursement.

- a) **DIRECT STAFF COSTS.** Implementing agency staff costs are eligible, provided costs are directly related to the project tasks. Allowable implementing agency staff costs shall include the actual salary and fringe benefits directly related to the project only.
- b) **INDIRECT OVERHEAD COSTS.** An overhead rate for indirect costs can be assessed on direct staff costs (salary and fringe benefit costs) only. The overhead rate shall be calculated by multiplying total labor cost (salaries and fringe benefits as described in above), by the sponsors' or implementing agencies' overhead rate as approved in its OMB Circular A-87 standard or an equivalent rate accepted by MTC. For projects with multiple project sponsors, the project sponsors must mutually agree to the method and overhead rate being applied to that particular RM2 project. The overhead rate effective July 1 of each year shall be applied for the entire fiscal year. Sponsors and implementing agencies may update the rate as of July 1 of each fiscal year. The amount reimbursable for the overhead rate shall not exceed 50% of the direct staff cost and shall not be leveraged on consultant contract or equipment costs. Project sponsors and implementing agencies must self certify and submit an independent opinion with respect to its agency compliance with OMB Circular A-87 standards and laws.
- c) **OTHER DIRECT PROJECT COSTS.** Other direct costs as approved by MTC.
- d) **CONSULTANT COSTS.** Consultant services directly responsible for delivering the project are eligible. Consultant services shall be listed separately and supported in the invoice submittal to MTC.

## **6. Miscellaneous Costs**

The costs of fees from other agencies, including permit fees, or reimbursement for review or oversight costs needed for the project are eligible costs. However, the cost of permits or fees from the sponsor will not be eligible. Utility relocation costs are eligible for reimbursement according to previous agreements establishing rights for those utilities. The costs for specialized equipment for testing, analysis or production of documents for project-related work are also eligible.

### **Invoicing and Reimbursements**

All eligible costs shall be invoiced on a reimbursable basis. Sponsors are encouraged to invoice quarterly and not more frequently than monthly. Any exceptions for supplemental payments must be approved in advance by MTC. For each fiscal year in which expenditures are incurred, sponsors should invoice at least once in that fiscal year. Invoices shall include only eligible costs and must show that the RM2 and matching fund sources are reimbursed and drawn down at approximately the same rate as the RM2 funds. Costs shall be accounted for in the invoice, sufficient to detail services performed with respect to the project scope as approved by MTC and payments made. An invoice format is provided to sponsors by MTC and shall include appropriate supporting reports from the sponsoring agency's general ledger. Approval of invoices shall be contingent on the timely submittal of Progress Reports. In the event such Progress Reports are not complete and current, approval of invoices shall be withheld until an acceptable Progress Report is submitted. Final reimbursement of funds will be subject to review of the delivered

useable/ operable phase or segment and project close out procedures except if all the funds are used before project closeout.

**MTC has implemented a few changes in invoicing procedures effective March 1, 2010, to reduce turnaround time for invoice processing, improve invoice tracking, and improve progress on projects entering or already in more complex and capital intensive phases. These changes include a) revisions in the standard invoicing forms on all projects; b) new invoicing forms requiring additional information on select projects in (or entering) complex and capital intensive phases; c) electronic invoices to be provided along with the usual hard copies on the select projects.** Availability for Audits  
Sponsors of capital projects shall be available for an audit as requested by MTC.

### **TIMELY USE OF FUNDS PROVISIONS AND DEADLINES**

The majority of fund sources used for transportation improvements are bound by timely use of funds deadlines. Failure to meet specific funding milestones can result in the funds being deleted from the project. In the event of funding loss due to the sponsor's inability to meet timely use of funds provisions, the sponsor must demonstrate that the project or project phase is still deliverable.

Generally, project sponsors should encumber funds within one year of receiving an allocation. With respect to project phase milestones 1) sponsors should not take more than 3 years to complete the environmental document and clearance process for environmental phase allocations and 2) Right of Way agreements should be finalized within two years of the allocation of funds for right of way acquisition. Deviations from these timely use of funds guidelines should be highlighted in the progress reporting process and sponsors are required to provide an explanation for this lapse. Amendments, adjustments and extensions should be requested in writing and must be approved, in writing, by MTC staff.

Project sponsors must demonstrate and certify that they can meet all of the timely use of funds deadlines as part of the financial plan included in the Initial Project Report for the various fund sources on the project. It is encouraged that project sponsors follow the provisions of the Regional Project Delivery Policy (MTC Resolution No. 3606).

### **Project Cancellation**

If the RM2 project or project phase is not completed, the project sponsor shall repay MTC any RM2 funds expended above the proportionate share of eligible costs for the project or project phase. With regard to vehicle procurements, removal from revenue service or sale of the vehicle prior to the end of the vehicle's useful life will result in repayment to MTC and the RM2 program for the depreciated value of the vehicle at the time of removal or sale.

Following the Commission consultation with the sponsor, public hearing and determination to redirect funds from the project, payment to MTC shall be made with interest and shall be made in accordance with a negotiated repayment schedule, not to exceed 24 months. MTC shall withhold funds due the sponsor for any missed payments under the negotiated agreement.

## **OTHER PROJECT COST CONDITIONS**

### **Maintenance and Operating Costs**

Pertaining to capital projects outlined in Streets and Highways Code Section 30914 (c), it is the obligation of the project sponsor to arrange for all costs to operate and maintain the improvement constructed under RM2. No costs will be considered as eligible for reimbursement out of RM2 funds to operate or maintain the facility or any portion of the facility. Requests for any initial startup costs as part of the construction contract must be approved in writing by MTC staff.

### **Escalated Costs**

RM2 funding for any individual project or program shall be limited to the amount designated in the RM2 legislation notwithstanding the provisions of Section 30914(f). If funding beyond RM2 amounts are required to complete the project phase the sponsor is responsible for securing the additional funding prior to allocation of RM2 funds.

### **Cost Increases**

In cases where more than RM2 funds are needed to complete a project phase, it is the sole responsibility of the sponsor to secure the additional necessary funding. In the event that the sponsor cannot secure additional funding, and/or the project cannot be segmented, phased, or rescope to meet the available funds and still conform to the intent of the legislation and voter mandate, the Commission shall consult with the program or project sponsor, and conduct a public hearing as outlined in S&HC Section 30914(f). After the hearing, the Commission may vote to modify the project's or program's scope, decrease its level of funding, or reassign all of the funds to another regional project or program within the same corridor. If the existing project is removed from the RM2 program, MTC and the sponsor agree to share expenditures of eligible costs to date in accordance with the allocation conditions accompanying the project allocation.

Contract change orders or cost increases that may arise once the contract has been awarded that are in excess of \$250,000 or 20% of the project cost, whichever is less, shall be noticed to MTC as soon as those increases have been identified or no later than the next scheduled Progress Report. The project sponsor will provide assurance that the project phase the Commission allocated to is still deliverable. A revised financial plan for the project shall be included as part of the submitted Progress Report.

The sponsor is not authorized to claim any RM2 funds in excess of the allocation amount approved by the Commission.

**In no case shall the financial responsibility of BATA and/or MTC regarding RM2 funds exceed the amount designated in S&HC 30914 (c) and (d) unless the Commission reassigns funds.**

### **Cost Savings and Cost Increases at Bid Opening**

At the time of bid opening, the responsible low bid may exceed the funding commitment of RM2 funds as well as other fund sources. If in the event of construction budget exceedences, the sponsor may seek an allocation of any remaining RM2 funds not yet allocated to the project only if other funds are committed in sufficient amounts to deliver the construction phase. If all available fund sources are not sufficient to award the project, the sponsor shall consult with MTC on suitable measures to enable the project to proceed, including but not limited to downscoping the project and rebidding, providing additional clarity to enable a more cost-effective bid, or seeking additional revenues. In no case shall the sponsor exceed the levels of RM2 funding

allowable under Street and Highway Code Section 30914(c). In utilizing all available funding from all sources for contract award, the sponsor shall consult with MTC staff on the likelihood of cost increases during construction and what contingencies are available to address these costs, including the presentation of a risk management plan for constraining construction expenditures to available revenues. In the event of projected cost savings at bid opening, the proportional share of RM2 funds will be rescinded and shall be available to the sponsor for any cost increases associated with the project after construction award until the time of final close-out of the bid phase, including the settlement of all claims. Any requests for exceptions will be considered on a case-by-case basis.

## **MONITORING AND REPORTING REQUIREMENTS**

### **Annual Updates**

On an annual basis, sponsors and implementing agencies may be asked to notify the Commission of anticipated allocation requests for subsequent fiscal year (12 months). The Commission's capacity to allocate RM2 funds depends in part on the information provided by the sponsors and the failure to comply may result in the sponsor's allocation request being deferred until such time when RM2 funds become available.

### **Semi-annual Progress Reports**

As directed by MTC, sponsors and/or implementing agencies will provide MTC with a Semi-Annual Progress Report. Semi-annual periods begin on July 1 and January 1 of any given fiscal year. These reports are meant to update MTC on the project's scope, cost, and schedule. These reports shall include the following:

- **Status:** the phase currently underway and the progress since the last report; major meetings and decisions on the project; any significant accomplishments; any setbacks to the project. The sponsor should note whether they anticipate any problems, and what area these problems exist in.
- **Expenditures to date:** these will be specified as expenditures since the prior reporting, and will include all funding sources including RM2. These will be in sufficient detail to determine that they are eligible expenses.
- **Schedule changes:** any changes in the project schedule as outlined and approved in the IPR and the consequences of those changes, particularly related to project costs. If the schedule has been modified, a revised schedule must be attached.
- **Cost changes:** all changes should be noted in the Progress Report; changes greater than 20% or \$250,000 dollars, whichever is less, must be accompanied by a detailed explanation of what options the sponsor has considered to manage the change. If costs have changed by more than \$250,000 or 20%, whichever is greater, a revised funding plan and cash flow schedule must be attached.
- **Potential Claims:** If RM 2 funds are utilized for the construction phase of the project, then the sponsor must certify if there are any Notices of Potential Claim. If they exist, a summary of such notices as well as the likely cost or schedule impact shall be included. Upcoming allocation requests: Sponsors are requested to provide information on upcoming allocation requests; MTC's capacity to allocate RM2 funds depends in part on the information provided by the sponsors and the failure to comply may result in the sponsor's allocation request being deferred until such time when RM2 funds become available.



- Status of Project Specific Conditions: If project specific conditions were approved as part of the allocation, the sponsor must address the status of meeting the condition.
- Failure to provide the report and required information shall be ground for MTC to withhold reimbursements until a report is submitted and accepted by MTC.

### **Project Close Out**

The Implementing Agency shall be responsible for notifying MTC of the completion of project, prior to submitting the final invoice for the project. After notification, MTC staff will provide the sponsor with the appropriate forms to close out the project, specific to the project type. The final close-out procedure for a project may include sponsor provided documentation verifying the completion of the project, summarizing project costs and expenditures with a reconciliation of balances remaining on the project, transmittal of final deliverables, and on-site field visits. For projects that expend all of the RM 2 funds before completing the overall project as stipulated in statute, MTC has the discretion to continue requesting progress reports on the project. This will be considered on a case-by-case basis. In case of RM2 projects that include complementary bridge toll funds (RM1/AB1171) that have not been expended as yet, sponsors will be expected to continue to provide progress reports on the status of these projects.

### **At Risk Report/Cooperation with Consultants**

Upon receipt of the sponsor-submitted semi-annual progress reports, MTC shall prepare an At-Risk Report (Report) for submittal to the Commission that outlines critical scope, cost, or schedule changes to the project. The sponsor shall cooperate with MTC or any authorized agent of MTC in the preparation of the Report. The report will be presented to the Commission to determine the ability of the project or project phase to be delivered, per Section 30914(f) of the S&HC. Regarding scope changes, any changes resulting in changes in costs or schedule should be delineated.

## **CONSISTENCY WITH OTHER PLANS AND POLICIES**

### **RTP Consistency**

Capital projects seeking allocations must be consistent with the adopted Regional Transportation Plan (RTP), which state law requires be consistent with federal planning and programming requirements.

### **CMP Consistency**

For capital projects, it is required that all committed project phases be included in a Countywide Plan. The phase of the project requiring funding shall be in an approved County Congestion Management Plan (CMP) or in an adopted Capital Improvement Program (CIP) for counties that have opted out of the CMP requirement, prior to seeking allocation of RM2 funds. For multi-county projects, the project must be in the countywide plans and CMP/CIP of the counties affected by the project.

### **TIP and Air Quality Conformity**

Federal laws governing requirements for regions to achieve or maintain federally mandated air quality standards require that all regionally significant transportation improvements be part of a required regional conformity finding. This conformity finding is performed by MTC, the Metropolitan Planning Organization (MPO) for the Bay Area, in concert with the Bay Area Air Quality Management District and the Association of Bay Area Governments and must state that if all the transportation improvements proceed, air quality standards can be reached.

A project is regionally significant if it increases transit or highway capacity or offers an alternative to established regional highway travel. Projects must be included in the conformity analysis, regardless of their fund source. To that extent, all regionally significant RM2 projects must be included in the conformity analysis for the Regional Transportation Plan (Plan) and Transportation Improvement Program (Program). Project sponsors are responsible for updating the TIP listing for their projects following an RM2 allocation or rescission or other significant change to the project. Project specific air quality conformity analysis and findings are the sole responsibility of the project sponsor.

### **Accommodations for Bicyclists, Pedestrians and Persons with Disabilities**

Federal, state and regional policies and directives emphasize the accommodation of bicyclists, pedestrians, and persons with disabilities when designing transportation facilities. As with many existing projects in the Bay Area, an RM2 project is likely to have a number of fund sources that make it whole. A project must incorporate the appropriate policy associated with the fund sources that make up the project. Federal, State, and regional policies and directives regarding non-motorized travel include the following:

#### **Federal Policy Mandates**

TEA-21 states that, "Bicycle transportation facilities and pedestrian walkways shall be considered, where appropriate, in conjunction with all new construction and reconstruction of transportation projects, except where bicycle and pedestrian use are not permitted" (Section 1202).

#### **State Policy Mandates**

Caltrans Deputy Directive 64 (<http://www.dot.ca.gov/hq/tpp/offices/bike/DD64.pdf>), states: "the Department fully considers the needs of non-motorized travelers (including pedestrians, bicyclists, and persons with disabilities) in all programming, planning, maintenance, construction, operations, and project development activities and products. This includes incorporation of the best available standards in all of the Department's practices. The Department adopts the best practices concept in the US DOT Policy Statement on Integrating Bicycling and Walking into Transportation Infrastructure."

#### **Routine Accommodations Policy**

MTC Resolution 3765 requires agencies applying for regional transportation funds to consider the needs of bicyclists and pedestrians in the process of planning and designing a project.

#### **Resolution 3434 TOD policy**

In order to support the development of communities around new transit lines and stations, MTC adopted a [Transit-Oriented Development \(TOD\) Policy](#) that applies to key transit extension projects in the Bay Area. RM2 projects, as appropriate shall comply with the TOD policy.

#### **Intelligent Transportation Systems Policy**

In collaboration with federal, state, and local partners, MTC is developing the regional Intelligent Transportation Systems (ITS) architecture. MTC, state and federal agencies will soon require projects funded with federal highway trust funds to meet applicable ITS architecture requirements. Through the on-line WEBFMS application process, project sponsors will identify

the appropriate ITS category, if applicable. Information on the regional ITS architecture can be found at: <http://www.mtc.ca.gov/planning/ITS/index.htm>.

### **Transit Coordination Policy**

#### **Res. 3866 (Transit Coordination Implementation Plan)**

Res. 3866 establishes coordination requirements for Bay Area transit operators to improve the transit customer experience when transferring between transit operators and in support of regional transit projects like Clipper (formerly TransLink<sup>®</sup>), 511 and the Hub Signage Program. Any agency that is an eligible recipient of funds subject to allocation or programming by MTC – including RM2 capital funds – is subject to Res. 3866 requirements. If a transit operator fails to comply, MTC may invoke the provisions of MTC Resolution No.3866, which could affect access to funds.

### **Traffic Operations System Policy for Major New Freeway Projects**

It is the Commission's policy that all major new freeway projects included in the Transportation 2030 Plan and subsequent regional transportation plans shall include traffic operations system (TOS) elements to effectively operate the region's freeway system and coordinate with local transportation management systems. MTC is requiring that all applicable RM2 projects conform to the regional policy. For purposes of this policy, a "major freeway project" is a project that adds lanes to a freeway, constructs a new segment of freeway, modifies a freeway interchange, or reconstructs an existing freeway. A project is considered "new" if it does not have an approved Project Study Report (PSR) by December 2004. Caltrans shall operate, manage, maintain and replace the TOS elements installed within its right-of-way.

## **SECTION 3 – OPERATING PROGRAM GUIDANCE**

### **BACKGROUND**

Regional Measure 2 (RM 2) will provide operating support for a number of transit services. These projects are identified in Section 30914(d) of the California S&HC.

On October 13, 2004, the Federal Highway Administration with concurrence of the Federal Transit Administration approved the use of toll revenues from the four non-federalized Bay Area bridges for funding transit operations through the RM2 program. This decision allows MTC to begin allocating operating funds to the projects that were approved as part of RM2.

RM2 funds for operating assistance will be made available annually in accordance with the policies and procedures defined in this section.

### **ALLOCATION PROCESS**

Prior to the beginning of each fiscal year MTC will adopt a project specific budget for RM 2 operating funds. It is against this budget, subject to meeting eligibility requirements and fund availability, that project sponsors should request operating allocations.

In S&HC 30914.5(b), MTC is directed to execute an operating agreement with sponsors seeking RM2 funding covering operating assistance for transit services. These agreements are to be executed through a process of project sponsor governing board certification followed by Commission allocation action. The annual funding agreement will consist of approval by both project sponsors and MTC of the terms outlined in the sponsor Implementing Agency Resolution and Operating Assistance Proposal (OAP). The Implementing Agency Resolution should provide evidence of a full funding plan, adherence to performance measures, local agreement to conditions, local certification of absence of legal impediments and local indemnification of the Commission and adherence to the planned activity as outlined in the OAP.

### **Environmental Documentation**

Pursuant to California Environmental Quality Act (CEQA) Public Resources Code §21000, et seq., all applicants are required to indicate that an environmental document has been filed with the County Clerk for each project in their annual application. Please refer to Public Resources Code and Title 14 of the California Code of Regulations for more information. At the time of service initiation, an applicant may submit a request for RM2 funding to cover the costs of the environmental assessment for the RM2 route. Applicants are urged to refer to the statutory and regulatory sections cited when preparing the environmental assessment documents. Applicants should consult their environmental officer for guidance in completion of this requirement. An application for operating funds solely to maintain existing transit services normally will be a Class I categorical exemption under CEQA, and requires only a Notice of Exemption. Applicants should check with their environmental officer for further assistance.

**Allocation Applications**

An allocation request will be considered complete and ready for consideration by the Commission when all of the component elements to the request are submitted and approved for forwarding to the Commission by MTC staff. Each request must be submitted using the most current forms available on the MTC website. Most operating project sponsors will prepare their requests as part of an application for Transportation Development Act funds submitted to MTC annually. For project sponsors that do not receive those funds, applications for operating assistance should be submitted sixty days prior to the expected allocation date and should include the following material:

1. Cover letter detailing the allocation request;
2. Implementing Agency Resolution; \*
3. Operating Assistance Proposal;
4. Opinion of Legal Counsel; \*
5. Environmental documentation;
6. Certifications and assurances; and
7. Fiscal audit.

\* Project sponsors have the option of consolidating the ‘Implementing Agency Resolution’ and the ‘Opinion of Legal Counsel.’

Appendix B details the formats for the Implementing Agency Resolution, Operating Assistance Proposal, the Opinion of Legal Counsel, and the Certifications and Assurances. RM2 operating project sponsors not eligible for Transportation Development Act funding should contact MTC for the most recent Operating Assistance Proposal.

Staff will review the operating assistance request to ensure that the project request meets eligibility per S&H code 30914(d), compliance with financial audit requirements, satisfaction of established performance measures, and other requirements outlined in this policies and procedures manual.

**ELIGIBILITY****Reimbursable Activities**

Transit services eligible to receive operating assistance under RM2 are those projects identified under Section 30914(d) of the S&HC. These projects and services have been determined to reduce congestion or to make improvements to travel in the toll bridge corridors. Due to other federal, state and regional requirements, full eligibility for the receipt of RM2 funding is not determined until approval of the funding allocation by the Commission.

Operating costs included in the operating expense object classes of the uniform system of accounts, exclusive of depreciation and amortization expenses and direct costs for providing charter service, are eligible for RM2 operating assistance. Eligible expenses for operating follow the eligibility criteria for Transportation Development Act funds.

Service initiation costs for RM2 routes – including preparation of environmental clearance – are an eligible expense.

No operator or transit service claimant shall be eligible to receive moneys during the fiscal year from RM2 operating assistance for operating costs that exceed its actual operating cost for the service identified in S&HC 30914(d) or subsequently amended through an action by the MTC Commission (including payment for disposition of claims arising out of the operator's liability) in the fiscal year less the

1. amount of fare revenues received during the fiscal year.

For those cases where the RM2 service is a portion of an operator's service, the methodology used to derive the costs and revenues for the route must be specified at the time of allocation. Any change in the methodology must be approved by MTC staff in advance and may require a revision to the allocation.

The period of eligibility for operating expenses is for the fiscal year for which the allocation is made. The term fiscal year has reference to the year commencing July 1 and ending June 30 of the following year.

Notwithstanding the provisions listed above for transit operating, for purposes of TransLink® and Water Transit Authority administrative expenses, the Federal Highway Administration (FHWA) and Federal Transit Administration (FTA) have determined that planning activities are eligible for reimbursement from toll revenues. Allocation for planning activities will be in accordance with federal guidance and may need to be reviewed by federal agencies in advance of the allocation to confirm that the planned activities are Title 23 eligible.

### **Consistency with Plans**

In addition to the eligibility requirements outlined above, applicants must demonstrate consistency with regional plans and federal planning requirements including but not limited to:

- MTC Regional Transportation Plan: For operations projects, applicants should provide the necessary project reference or information to verify that their project is compatible with the RTP.
- Applicant's Short Range Transit Plan (SRTP) or Countywide Plan: For operations projects, applicants should reference how the project is reflected in their Short Range Transit Plan or County-wide Five Year Plan. All transit operators that receive operating assistance shall prepare a Short Range Transit Plan, or planning/budget document equivalent for their system, including reference to the planned use of RM2 bridge tolls as part of their overall operations. Failure to complete an SRTP could delay an allocation or make a project sponsor ineligible for RM2 operating assistance.
- Air Quality Conformity: An applicant's project must be consistent with the TIP for which MTC has completed an air quality conformity assessment.

### **DISBURSEMENT OF FUNDS**

After approval by the Commission, allocations of RM2 operating funds will be disbursed in accordance with the terms and conditions established in the allocation instructions by MTC. Generally, allocation instructions will direct payments to be made monthly in advance, subject to quarterly adjustments to reflect actual expenses against monthly invoices. Sponsors are required to submit the final fiscal year invoice by July 30th. All disbursements are subject to the availability

of bridge toll revenues and determination of eligible expenses. Specific invoicing procedures will be provided to the sponsor.

Disbursement of RM2 operating assistance may be delayed, cancelled, or adjusted based on MTC audit findings of ineligible expenses. Delinquency of report submittals or failure to comply with other RM2 operating assistance conditions could be grounds for withholding disbursement of funding or rescinding allocations.

## **MONITORING REQUIREMENTS**

### **Annual Update of Operating Assistance Plan**

Streets and Highway Code 30914.5(b) requires that MTC enter into an agreement with all recipients of RM2 operating assistance that shall include, at a minimum, a fully funded operating plan that conforms to and is consistent with the adopted performance measures. The agreement shall also include a schedule of projected fare revenue and any other operating revenues needed to demonstrate that the service is viable in the near-term and is expected to meet the adopted performance measures. These agreements are to be executed through a process of project sponsor governing board certification followed by Commission allocation action as discussed above in Allocation Process.

Applicants for RM2 operating assistance will use the Operating Assistance Plan (OAP) to demonstrate a fully funded operating plan that is consistent with MTC adopted performance measures. The submittal shall be due May 1<sup>st</sup> for July allocations, or on a rolling basis thereafter, and be updated to reflect audited actual expense data as well as adjusted current year financial and operating data statistics, as appropriate.

The OAP required information is included in Appendix B or in the most current Transportation Development Act funding application. RM2 operating project sponsors not eligible for Transportation Development Act funding should contact MTC for the most recent OAP.

### **Performance Measures**

Prior to allocation of revenue for transit operating assistance under subdivision (d) of Section 30914 of the S&HC, the MTC shall adopt performance measures related to farebox recovery, ridership, and other performance measures as needed. The performance measures are included in Appendix C, Part 5. Any request to change approved performance measures, or the recording and reporting of those measures, must be approved in advance and in writing by MTC staff.

The performance measures, as developed in concert with the affected transit operators and the Advisory Council and as approved by the Commission, will effect allocations starting in FY 2006-07. The applicable year for calculating performance measures will be two years in arrears of a requested allocation year. In other words, for FY 2006-07 operating allocations, the Commission will base compliance with the performance measures on FY 2004-05 operating performance.

An independent auditor in the fiscal audit, as discussed below shall verify the certification of compliance with adopted performance measures. Failure to report and meet performance measures established by MTC may be grounds for delays or adjustment to future allocations.

**Fiscal Audit**

As established in S&H Code 30914.5(c), prior to annual allocation of transit operating assistance by the MTC, the MTC shall conduct an independent audit that contains audited financial information, including an opinion on the status and costs of the project and its compliance with the approved performance measures. At a minimum, the fiscal audit will provide the auditor's professional opinion as to whether RM2 operating assistance was spent on eligible costs and performance measures status.

All fiscal and accounting records and other supporting papers shall be retained for a minimum of four years following the close of the fiscal year of expenditure.

**Cooperation with MTC and MTC's Consultants**

Recipients of RM2 operating assistance funds agree to work cooperatively with MTC staff and MTC consultants to provide operating statistics that will be used to monitor the effectiveness of the RM2 operating program and consistency with MTC adopted performance measures. This includes but is not limited to assisting in the collection of survey data, on-board vehicle counts, and making available relevant ridership and costs information. It is important to note that, in most cases, these performance measures will be route-specific and therefore require isolation of the operating cost, passenger boardings, and fare revenue for the route or line for which RM 2 operating assistance is secured.



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## **Appendix A – Capital Allocation Request Forms**

### **Part 1: RM2 Implementing Agency Resolution of Project Compliance**

#### **Resolution No.**

**Implementing Agency:**

**Project Title:**

WHEREAS, SB 916 (Chapter 715, Statutes 2004), commonly referred as Regional Measure 2, identified projects eligible to receive funding under the Regional Traffic Relief Plan; and

WHEREAS, the Metropolitan Transportation Commission (MTC) is responsible for funding projects eligible for Regional Measure 2 funds, pursuant to Streets and Highways Code Section 30914(c) and (d); and

WHEREAS, MTC has established a process whereby eligible transportation project sponsors may submit allocation requests for Regional Measure 2 funding; and

WHEREAS, allocations to MTC must be submitted consistent with procedures and conditions as outlined in Regional Measure 2 Policy and Procedures; and

WHEREAS, (agency name) is an eligible sponsor of transportation project(s) in Regional Measure 2, Regional Traffic Relief Plan funds; and

WHEREAS, the (project title) is eligible for consideration in the Regional Traffic Relief Plan of Regional Measure 2, as identified in California Streets and Highways Code Section 30914(c) or (d); and

WHEREAS, the Regional Measure 2 allocation request, attached hereto in the Initial Project Report and incorporated herein as though set forth at length, lists the project, purpose, schedule, budget, expenditure and cash flow plan for which (agency name) is requesting that MTC allocate Regional Measure 2 funds; now, therefore, be it

RESOLVED, that (agency name), and its agents shall comply with the provisions of the Metropolitan Transportation Commission's Regional Measure 2 Policy Guidance (MTC Resolution No. 3636); and be it further

RESOLVED, that (agency) certifies that the project is consistent with the Regional Transportation Plan (RTP); and be it further

RESOLVED, that the year of funding for any design, right-of-way and/or construction phases has taken into consideration the time necessary to obtain environmental clearance and permitting approval for the project; and be it further

RESOLVED, that the Regional Measure 2 phase or segment is fully funded, and results in an operable and useable segment; and be it further

RESOLVED, that (agency name) approves the updated Initial Project Report, attached to this resolution; and be it further

RESOLVED, that (agency name) approves the cash flow plan, attached to this resolution; and be it further

RESOLVED, that (agency name) has reviewed the project needs and has adequate staffing resources to deliver and complete the project within the schedule set forth in the updated Initial Project Report, attached to this resolution; and, be it further

RESOLVED, that (agency name) is an eligible sponsor of projects in the Regional Measure 2 Regional Traffic Relief Plan, Capital Program, in accordance with California Streets and Highways Code 30914(c); and be it further

RESOLVED, that (agency name) is authorized to submit an application for Regional Measure 2 funds for (project name) in accordance with California Streets and Highways Code 30914(c); and be it further

RESOLVED, that (agency name) certifies that the projects and purposes for which RM2 funds are being requested is in compliance with the requirements of the California Environmental Quality Act (Public Resources Code Section 21000 et seq.), and with the State Environmental Impact Report Guidelines (14 California Code of Regulations Section 15000 et seq.) and if relevant the National Environmental Policy Act (NEPA), 42 USC Section 4-1 et. seq. and the applicable regulations thereunder; and be it further

RESOLVED, that there is no legal impediment to (agency name) making allocation requests for Regional Measure 2 funds; and be it further

RESOLVED, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

RESOLVED, that (agency name - include for transit projects/sponsors only) agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866; and be it further

RESOLVED, that (agency name) indemnifies and holds harmless MTC, its Commissioners, representatives, agents, and employees from and against all claims, injury, suits, demands, liability, losses, damages, and expenses, whether direct or indirect (including any and all costs and expenses in connection therewith), incurred by reason of any act or failure to act of (agency name), its officers, employees or agents, or subcontractors or any of them in connection with its performance of services under this allocation of RM2 funds. In addition to any other remedy authorized by law, so much of the funding due under this allocation of RM2 funds as shall reasonably be considered necessary by MTC may be retained until disposition has been made of any claim for damages, and be it further

RESOLVED, that (agency name) shall, if any revenues or profits from any non-governmental use of property (or project) that those revenues or profits shall be used exclusively for the public transportation services for which the project was initially approved, either for capital improvements or maintenance and operational costs, otherwise the Metropolitan Transportation Commission is entitled to a proportionate share equal to MTC's percentage participation in the projects(s); and be it further

RESOLVED, that assets purchased with RM2 funds including facilities and equipment shall be used for the public transportation uses intended, and should said facilities and equipment cease to be operated or maintained for their intended public transportation purposes for its useful life, that the Metropolitan Transportation Commission (MTC) shall be entitled to a present day value refund or credit (at MTC's option) based on MTC's share of the Fair Market Value of the said facilities and equipment at the time the public transportation uses ceased, which shall be paid back to MTC in the same proportion that Regional Measure 2 funds were originally used; and be it further

RESOLVED, that (agency name) shall post on both ends of the construction site(s) at least two signs visible to the public stating that the Project is funded with Regional Measure 2 Toll Revenues; and be it further

RESOLVED, that (agency name) authorizes its (Executive Director, General Manager, or his/her designee) to execute and submit an allocation request for the (environmental/ design/ right-of-way/ construction) phase with MTC for Regional Measure 2 funds in the amount of (\$ \_\_\_\_\_), for the project, purposes and amounts included in the project application attached to this resolution; and be it further

RESOLVED, that the (Executive Director, General Manager, or his/her designee) is hereby delegated the authority to make non-substantive changes or minor amendments to the IPR as he/she deems appropriate.

RESOLVED, that a copy of this resolution shall be transmitted to MTC in conjunction with the filing of the (agency name) application referenced herein.

**Part 2: RM2 Sample Opinion of Legal Counsel**

Project sponsors have the option of including specified terms and conditions within the Resolution of Local Support as included in Part 1. If a project sponsor elects not to include the specified language within the Resolution of Local Support, then the sponsor shall provide MTC with a current Opinion of Counsel stating that the agency is an eligible sponsor of projects for the Regional Measure 2; that the agency is authorized to perform the project for which funds are requested; that there is no legal impediment to the agency applying for the funds; and that there is no pending or anticipated litigation which might adversely affect the project or the ability of the agency to carry out the project. A sample format is provided below.

(Date)

To: Metropolitan Transportation Commission  
Fr: (Applicant)  
Re: Eligibility for Regional Measure 2 funds

This communication will serve as the requisite opinion of counsel in connection with the allocation of (Applicant) \_\_\_\_\_ for funding from Regional Measure 2 Regional Traffic Relief Plan made available pursuant to Streets and Highways Code Section 30914(c)(d) for (Project Name) \_\_\_\_\_

1. (Applicant) \_\_\_\_\_ is an eligible sponsor for the Regional Measure 2 funding.
2. (Applicant) \_\_\_\_\_ is authorized to submit an allocation request for Regional Measure 2 funding for (project) \_\_\_\_\_
3. I have reviewed the pertinent state laws and I am of the opinion that there is no legal impediment to (Applicant) \_\_\_\_\_ making applications for Regional Measure 2 funds. Furthermore, as a result of my examinations, I find that there is no pending or threatened litigation that might in any way adversely affect the proposed projects, or the ability of (Applicant) \_\_\_\_\_ to carry out such projects.

Sincerely,

\_\_\_\_\_  
Legal Counsel

\_\_\_\_\_  
Print name

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### **Part 3: RM2 Initial Project Report (IPR) Format**

Section 30914(e) of the California Streets and Highways Code requires that project sponsors with projects listed in the capital program of the Regional Traffic Relief Plan (Section 30914(c)) submit an Initial Project Report (IPR) to the Metropolitan Transportation Commission (MTC) by July 1, 2004. Furthermore, MTC requires the project sponsor to submit an updated report along with any funding allocation request. The governing board of the agency submitting the allocation request must approve the updated IPR before MTC can approve the IPR, or allocation of funds. MTC will approve the report, or updated report, in conjunction with the funding allocation.

The report shall include all information required to describe the project in detail, including identification of lead sponsor, the status of any environmental documents relevant to the project, additional funds beyond RM2 required to fully fund the project, the amount, if any, of funds expended to date, a summary of any impediments to the completion of the project, a detailed financial plan, and notification of whether Regional Measure 2 (RM2) funds will be needed within the subsequent 12 months (following fiscal year). The Initial Project Report is outlined below, with the electronic template available at [www.mtc.ca.gov](http://www.mtc.ca.gov).

- **Project Description and Sponsor Information**, including identification of lead sponsor in coordination with all identified sponsors, and identification of agency to seek and receive allocations from MTC,
- **Project Delivery Information**, including summary of any impediments to the completion of the project, status of any environmental documents relevant to the project, status of the project phases and delivery milestones, and discussion of the operability of the project once completed.
- **Project Budget Information**, including the total budget for the project, and any prior expenditure.
- **RM2 Funding Need Information**, including RM2 expenditure (cash flow) plan, status of any prior RM2 expenditures, and identification of any RM2 funding needs for the next fiscal year, and beyond.
- **Project Funding Information**, including identification of committed funding to the project, any uncommitted funding required to fully fund the project, and segregation of the RM2 deliverable segment if different from the total project. Any timely use of funds requirements must be noted and incorporated into the overall funding schedule of the financial plan. The RM2 phase or component must be fully funded with committed funds, and it must be demonstrated that the RM2 funded phase or component results in a useable or operable segment. For transit projects resulting in expanded or enhanced services, the sponsor shall document the financial capacity to operate and maintain those services for a period of at least 10 years following the year services are initiated.
- **Allocation Budget Plan**. The sponsor must complete an Estimated Budget Plan (EBP) outlining the agency costs, consultant costs, and any other costs associated with the delivery of the Work Plan element for the allocation request. The EBP should represent both the RM2 funds as well as the complementary funds (for projects with complementary fund sources) for the entire work scope.

**Appendix A**

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- **Governing Board Action**, including verification of approval of the IPR. The IPR must be approved by the board or governing body of the agency responsible for preparing and submitting the IPR and requested the allocation of RM2 funding prior to MTC approval of the IPR and allocation of funds. Verification of the governing board action should be attached to the IPR.
- **Agency Contact and IPR Preparation Information**, including agency and project manager, and IPR preparer contact information, and date the report was prepared or updated.

#### **Part 4: Environmental Documentation**

Pursuant to California Environmental Quality Act Public Resources Code §21000, et seq., all applicants are required to submit a valid environmental document that has been certified by the County Clerk for each project. Please refer to Public Resources Code and Title 14 of the California Code of Regulations for more information. Applicants are urged to refer to the statutory and regulatory sections cited when preparing any environmental assessment under CEQA or NEPA. Applicants should consult their environmental officer for guidance in completion of this requirement. If a project is federally funded or is anticipated to be federally funded, project sponsors must submit approved National Environmental Protection Act documents.

#### **Part 5: RM2 Evidence of Allocation and Commitment of Complementary Funds**

Applicants are required to submit evidence of the commitment of complementary funds for the phase for which the applicant is seeking an allocation of RM2 funds. Copies of the applicable resolution(s) and/or governing body actions allocating the funds to the phase, within the years displayed in the cash flow plan, must be attached to the allocation request. The applicant must demonstrate that the phase is entirely funded prior to the allocation of RM2 funds. Part 6: RM2

#### **Allocation Work Plan**

The implementing agency must submit a detailed Work Plan covering the deliverables for which a RM2 funding allocation is being sought. The Work Plan should be consistent with the parameters included in the Board approved Initial Project Report, and must have sufficient detail regarding each deliverables' scope, cost and schedule. The elements of the work plan will serve as the basis of MTC staff review of project sponsor invoices. MTC staff will work with sponsors to ascertain the work breakdown level appropriate to the funding request being made. The Work Plan must be submitted with the allocation application request.

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## **Appendix B – Operating Allocation Request Forms**

### **Part 1: Certifications and Assurances**

(Sample form is available at [www.mtc.ca.gov](http://www.mtc.ca.gov))

Applicant certifies that, if RM-2 funding was received in the prior year, it has included the RM-2 costs and revenues in its general fiscal audit for that year. Applicant also assures that it will include the RM-2 costs and revenues in its general fiscal audit for the year in which funds are requested.

Applicant certifies to one of the following:

- 1) For bus operators, that it has submitted a copy of the California Highway Patrol (CHP) certification, which was issued within the last 13 months indicating compliance with California Vehicle Code §1808.1 and Public Utility Code §99251 (CHP "pull notice system and periodic reports").
- 2) For rail or ferry operators, it certifies that it is current on all inspections and certifications required by federal and state agencies.

Applicant for RM2 funds certifies that it has current SB 602 "joint fare revenue sharing agreements" in place with transit operators in the MTC region with which its service connects, and that it has submitted valid and current copies of all such agreements to MTC.

Applicant also agrees to participate in the Integrated Fare Structure and Transit Connectivity studies authorized in SB 916 (Chapter 715, Statutes of 2004).

Applicant for funds certifies that it complies with MTC's Transit Coordination Implementation Plan (MTC Resolution No. 3866, revised) and with Public Utilities Code §99314.5(c) and §99314.7).

The applicant may be asked to certify such other assurances as MTC may deem appropriate consistent with the RM2 Policies and Procedures outlined above.



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## **Part 2: RM2 Operating Assistance Proposal (OAP)**

The Operating Assistance Proposal (OAP) includes the information outlined below. The format for sponsors to complete is available to be downloaded at [www.mtc.ca.gov](http://www.mtc.ca.gov).

### **1. Description of Proposed Service**

- a. Map of service area.
- b. Description of markets being served (both travel demand as well as inter-operator connections)
- c. Description of methodology used to estimate ridership/assign ridership

### **2. Service Parameters**

- a. Service start/end times.
- b. Headways in the peak and off-peak
- c. Vehicles in service during the peak and off-peak
- d. Daily revenue vehicle hours

### **3. Budget Information**

- a. Basis of expense projections, i.e., description of cost model.
- b. Basis of fare revenue projections (assumptions on fare structure, including any increases over the five years, and resulting average fare).
- c. Description of other revenues – if subsidies from other agencies are included, describe status of commitments.
- d. Five-year projections and audited past actual and adjusted current year information for operating cost and revenue. Revenue projections should disaggregate fare revenue, TDA, local sales tax, private sector contributions, and other subsidies.

### **4. Operating Data and Performance Measures**

- a. Five-year projections and audited past actual and adjusted current year information for service parameters including annual ridership, weekday ridership, revenue vehicle hours, and revenue miles.
- b. Five-year projections and audited past actual and adjusted current year information for performance measures including farebox recovery ratio, passengers per revenue hour, cost per rider, subsidy per rider, and cost per revenue hour.

### **5. Implementation Schedule and Status Report**

- a. Proposed start date
- b. Environmental clearance – status and schedule
- c. Vehicles/other capital – status and procurement schedule for incremental capital needed to support RM2 funded operations.
- d. If partnering with other agencies, provide letters of support from partners.
- e. Description of potential implementation issues
- f. Once operational, please provide a status report on the implementation to-date as well as any planned schedule adjustments or other service changes in the coming year.

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### **Part 3: Sample RM2 Operating Board Resolution**

#### **Resolution No.**

**Implementing Agency:**

**Project Title:**

WHEREAS, SB 916 (Chapter 715, Statutes 2004), commonly referred as Regional Measure 2, identified projects eligible to receive funding under the Regional Traffic Relief Plan; and

WHEREAS, the Metropolitan Transportation Commission (MTC) is responsible for funding projects eligible for Regional Measure 2 funds, pursuant to Streets and Highways Code Section 30914(c) and (d); and

WHEREAS, MTC has established a process whereby eligible transportation project sponsors may submit allocation requests for Regional Measure 2 funding; and

WHEREAS, allocations to MTC must be submitted consistent with procedures and conditions as outlined in Regional Measure 2 Policy and Procedures; and

WHEREAS, (agency name) is an eligible sponsor of transportation project(s) in Regional Measure 2, Regional Traffic Relief Plan funds; and

WHEREAS, the (project title) is eligible for consideration in the Regional Traffic Relief Plan of Regional Measure 2, as identified in California Streets and Highways Code Section 30914(c) or (d); and

WHEREAS, the Regional Measure 2 allocation request, attached hereto in the Operating Assistance Proposal and incorporated herein as though set forth at length, demonstrates a fully funded operating plan that is consistent with the adopted performance measures, as applicable, for which (agency name) is requesting that MTC allocate Regional Measure 2 funds; and

WHEREAS, Part 2 of the project application, attached hereto and incorporated herein as though set forth at length, includes the certification by (agency name) of assurances required for the allocation of funds by MTC; now, therefore, be it

RESOLVED, that (agency name), and its agents shall comply with the provisions of the Metropolitan Transportation Commission's Regional Measure 2 Policy Guidance (MTC Resolution No. 3636); and be it further

RESOLVED, that (agency) certifies that the project is consistent with the Regional Transportation Plan (RTP).

RESOLVED, that (agency name) approves the updated Operating Assistance Proposal, attached to this resolution; and be it further

RESOLVED, that (agency name) approves the certification of assurances, attached to this resolution; and be it further

RESOLVED, that (agency name) is an eligible sponsor of projects in the Regional Measure 2 Regional Traffic Relief Plan, Capital Program, in accordance with California Streets and Highways Code 30914(d); and be it further

RESOLVED, that (agency name) is authorized to submit an application for Regional Measure 2 funds for (project name) in accordance with California Streets and Highways Code 30914(d); and be it further

RESOLVED, that (agency name) certifies that the projects and purposes for which RM2 funds are being requested are in compliance with the requirements of the California Environmental Quality Act (Public Resources Code Section 21000 et seq.), and with the State Environmental Impact Report Guidelines (14 California Code of Regulations Section 15000 et seq.) and, if relevant the National Environmental Policy Act (NEPA), 42 USC Section 4-1 et. seq. and the applicable regulations thereunder; and be it further

RESOLVED, that there is no legal impediment to (agency name) making allocation requests for Regional Measure 2 funds; and be it further

RESOLVED, that there is no pending or threatened litigation which might in any way adversely affect the proposed project, or the ability of (agency name) to deliver such project; and be it further

RESOLVED, that (agency name - include for transit projects/sponsors only) agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution 3866; and be it further

RESOLVED, that (agency name) indemnifies and holds harmless MTC, its Commissioners, representatives, agents, and employees from and against all claims, injury, suits, demands, liability, losses, damages, and expenses, whether direct or indirect (including any and all costs and expenses in connection therewith), incurred by reason of any act or failure to act of (agency name), its officers, employees or agents, or subcontractors or any of them in connection with its performance of services under this allocation of RM2 funds. In addition to any other remedy authorized by law, so much of the funding due under this allocation of RM2 funds as shall reasonably be considered necessary by MTC may be retained until disposition has been made of any claim for damages.

RESOLVED, that (agency name) shall, if any revenues or profits from any non-governmental use of property (or project) that those revenues or profits shall be used exclusively for the public transportation services for which the project was initially approved, either for capital improvements or maintenance and operational costs, otherwise the Metropolitan Transportation Commission is entitled to a proportionate share equal to MTC's percentage participation in the projects(s); and be it further

RESOLVED, that (agency name) authorizes its (Executive Director, General Manager, or his/her designee) to execute and submit an allocation request for operating or planning costs for (Fiscal Year) with MTC for Regional Measure 2 funds in the amount of (\$\_\_\_\_\_), for the project, purposes and amounts included in the project application attached to this resolution; and be it further

RESOLVED, that the (Executive Director, General Manager, or his/her designee) is hereby delegated the authority to make non-substantive changes or minor amendments to the IPR as he/she deems appropriate.

RESOLVED, that a copy of this resolution shall be transmitted to MTC in conjunction with the filing of the (agency name) application referenced herein.

**Part 4: RM2 Sample Opinion of Legal Counsel**

Project sponsors have the option of including specified terms and conditions within the Resolution of Local Support as included in Part 3. If a project sponsor elects not to include the specified language within the Resolution of Local Support, then the sponsor shall provide MTC with a current Opinion of Counsel stating that the agency is an eligible sponsor of projects for the Regional Measure 2; that the agency is authorized to perform the project for which funds are requested; that there is no legal impediment to the agency applying for the funds; and that there is no pending or anticipated litigation which might adversely affect the project or the ability of the agency to carry out the project. A sample format is provided below.

(Date)

To: Metropolitan Transportation Commission  
Fr: (Applicant)  
Re: Eligibility for Regional Measure 2 funds

This communication will serve as the requisite opinion of counsel in connection with the allocation of (Applicant) \_\_\_\_\_ for funding from Regional Measure 2 Regional Traffic Relief Plan made available pursuant to Streets and Highways Code Section 30914(c)(d) for (Project Name) \_\_\_\_\_

4. (Applicant) \_\_\_\_\_ is an eligible sponsor for the Regional Measure 2 funding.
5. (Applicant) \_\_\_\_\_ is authorized to submit an allocation request for Regional Measure 2 funding for (project) \_\_\_\_\_
6. I have reviewed the pertinent state laws and I am of the opinion that there is no legal impediment to (Applicant) \_\_\_\_\_ making applications for Regional Measure 2 funds. Furthermore, as a result of my examinations, I find that there is no pending or threatened litigation that might in any way adversely affect the proposed projects, or the ability of (Applicant) \_\_\_\_\_ to carry out such projects.

Sincerely,

\_\_\_\_\_  
Legal Counsel

\_\_\_\_\_  
Print name

**Part 5: RM2 Performance Measures for Operating Projects**

1. The objective in establishing performance measures is to ensure that the Regional Measure 2 (RM2) operating dollars are directed to productive services within the corridors identified in the legislation, or as redirected by the Commission after a public hearing process.
2. Two performance measures will be used to assess cost recovery and ridership change in accordance with California Streets and Highway Code (S&HC) 30914.5(a), which requires that MTC shall adopt performance measures related to farebox recovery ratio and ridership: 1) farebox recovery and 2) change in passengers per revenue vehicle hour. Farebox recovery ratio and change in passengers per hour performance measures are established in items 4 and 5.
3. Recognizing that the market demands as well as policy goals for the operating projects in S&HC 30914(d) are not uniform, several thresholds for farebox recovery are established and outlined in item 4.
4. An operating segment must meet or exceed the farebox recovery ratio conforming to its particular mode and service type as defined in the table below. Peak service is defined as service that does not continue at least hourly between the morning and afternoon commute periods. All day service is generally defined as service that is provided at least hourly between the hours of 6 a.m. and 7 p.m. Long-haul bus services (> 25 miles) will be deemed “all day” if service is provided at least every two hours during the midday. Owl service is service that has been developed with the specific goal of closing a temporal gap in the transit network.

For purposes of establishing compliance with the performance measures, the farebox recovery ratio for the audit year or the average farebox recovery ratio for a three-year period will be used, whichever is more favorable.

<b>Service Type</b>	<b>Ferry</b>	<b>Rail</b>	<b>Bus</b>
<b>Peak Service</b>	40%	35%	30%
<b>All Day Service</b>	30%	25%	20%
<b>Owl Service</b>	N/A	N/A	10%

Projects (8) and (9) in S&HC 30914(d) are exempt from the farebox thresholds above and instead must meet the farebox requirements established for receiving allocation for state funds (Transportation Development Act, State Transit Assistance, and AB 1107).

5. It is the expectation that all operating segments will maintain a positive change in passengers per revenue vehicle hour when a rolling average over a three-year period is applied. The first three years of service must demonstrate an increase in passengers each year. From the fourth year forward, three-year averages will be calculated and compared. The previous three-year average will be compared to the most recent three-year average, with the most recent year being added and the oldest year being dropped from each average (FYs 2004, 2005 and 2006 will be compared to FYs 2005, 2006, and 2007, and so on). If productivity during the audit year is better than the most recent three-year average, then the previous three-year average will be compared to the audit year. A negative change in an amount equal to or less than a negative

**Appendix B**

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change in Transportation Development Act revenues in the county of operation (or average between the origination and destination) for the same period will be allowable. The goal is to have positive ridership change between each three-year cycle, but the allowance for a negative change is to account for economic adjustments in the region and for fluctuations in regional market demand for each service.

Projects (8) and (9) in S&HC 30914(d) are exempt from the passenger per revenue vehicle hour changes and instead must meet the performance measure requirements established for receiving allocation for state funds (Transportation Development Act, State Transit Assistance, and AB 1107).

6. If an operating program or project cannot achieve its performance objectives described above, MTC staff will consult with the project sponsor about potential service adjustments or redeployment to increase the productivity of the route and best serve transit in the corridor. After this consultation, the sponsor will be given the opportunity to present to the Commission a corrective action plan for meeting the RM2 performance measures. Based on the corrective action plan recommendation, the Commission shall give the sponsor a time certain to achieve the performance measure or have its funding reassigned. If there are no other eligible claimants within the RM2 eligible program category the Commission shall hold a public hearing concerning the project. After the hearing, the Commission may vote to modify the program's scope, decrease its level of funding, or to reassign all of the funds to another or an additional project.
7. Only transit operations will be subject to the performance measure outlined in this policy. Projects (10) and (11) outlined in RM2 under S&HC 30914(d) are not subject to these performance measures as these projects do not meet the definition of transit operations.
8. Each operating project that requests RM2 operating funding will be given a two-year ramp-up period to meet the performance measures with an expectation that measures will be met in the third year of service. If an operating scope or definition is changed at the sponsor request after initial rollout of the operating project, no new ramp-up period will be granted.
9. Compliance with the performance measures must be certified as part of the annual fiscal audit prepared by the project sponsor. The compliance and, therefore eligibility for RM2 operating funds, for a given fiscal year will be based on fiscal audit two years in arrears. Therefore, the first year for which performance measures will be assessed is for FY 2008-09 operating requests; these requests will take into consideration performance in FY 2006-07.
10. For purposes of calculating farebox recovery ratio and passengers per revenue vehicle hour, project sponsors must allocate costs in accordance with the cost allocation shown below for the various service types. This cost allocation strategy must be consistent with that provided to MTC as part of the annual Operating Assistance Plan (OAP). Further, baseline data on ridership, costs, fares, and average fare must be established as part of the OAP for RM2 services that represent an incremental change to the operator's overall service plan. The operator should establish a data collection plan for assessing changes to the baseline system for purposes of calculating ridership, costs, and fare for the new RM2 incremental services.

**Appendix B**

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<b>Service Type</b>	<b>Cost Allocation Methodology</b>
<b>Peak Service</b>	Fully Allocated Costs
<b>All Day Service</b>	Fully Allocated Costs
<b>Owl Service</b>	Marginal Costs

11. For purposes of this policy, the farebox recovery ratio is the ratio of fares collected on the RM2-funded segment to total operating costs for that same segment. Passenger per revenue vehicle hour is defined as the total passengers (total of all adult, youth and student, senior and disabled, inter-operator paid transfer, and non-revenue boardings) divided by the revenue vehicle hours (the total number of hours that each transit vehicle is in revenue service, including layover time).

# APPENDIX A – 35

## *Regional Policies: Project Funding and Specific Funding Programs*

**Programming and Allocation Policies for the AB 664 Net Bridge Toll Revenue, RM1 Regional Rail Extension Reserve, Two Percent Bridge Toll Revenue, and Five Percent State General Fund Revenue Transit Funding Programs**

**MTC Resolution No. 4015**





Date: June 22, 2011  
W.I.: 1514  
Referred By: PAC  
Revised: 12/20/17-C

ABSTRACT

Resolution No. 4015, Revised

This resolution establishes revised programming and allocation policies for the AB 664 Net Bridge Toll Revenue, RM1 Regional Rail Extension Reserve, Two Percent Bridge Toll Revenue, and Five Percent State General Fund Revenue transit funding programs. The revisions establish annual funding for ABAG for the San Francisco Bay Trail, make WETA the sole applicant for ferry services funding, and remove the condition splitting funds between the Northern and Southern bridge groups for the Two Percent Bridge Toll Revenue programs. This resolution supersedes Resolutions 2004, Revised, 3149, and 3288, Revised.

This resolution includes the following Attachment:

Attachment A – Bridge Toll Revenue and State General Fund Revenue Allocation Policy

Attachment A to this resolution was revised on December 20, 2017 to update policies concerning AB 664 Net Bridge Toll Revenues and Bay Trail funds in the Two Percent and Five Percent programs.

Further discussions of the policies are contained in the Programming and Allocations Committee summary sheet dated June 8, 2011 and December 13, 2017.

Date: June 22, 2011  
W.I.: 1514  
Referred By: PAC

RE: Revised Programming and Allocation Policies for the AB 664 Net Bridge Toll Revenues, RM1 Regional Rail Extension Reserve, Two Percent Bridge Toll Revenues, and Five Percent State General Fund Revenues transit funding programs

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4015

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code § 66500 et seq.; and

WHEREAS, since 1977, MTC has allocated net toll revenues, pursuant to Government Code §§ 30892 and 30893, for eligible transit capital improvements and ferry operations; and

WHEREAS, pursuant to Streets and Highways Code § 30913 (b), MTC has allocated two-thirds of the 2 percent of the 1988 Regional Measure 1 toll increase (“Two Percent Bridge Toll Revenues”) to projects which are designed to reduce vehicular traffic congestion on these bridges; and the remaining one-third of those toll revenues for the planning, construction, operation, and acquisition of rapid water transit systems; and,

WHEREAS, pursuant to Streets and Highways Code § 30884, certain toll revenues (“AB 664 Net Bridge Toll Revenues”) are available to fund transit capital improvements; and

WHEREAS, pursuant to Streets and Highway Code § 30919, MTC has allocated bridge toll revenue (“RM1 Regional Rail Extension Reserves”) for rail extension and improvement projects designed to reduce vehicular congestion on the San Francisco-Oakland Bay Bridge in the counties of Alameda, Contra Costa, San Francisco, San Mateo, and Santa Clara; and

WHEREAS, pursuant to Streets and Highways Code § 30894, MTC adopted MTC Resolution No. 2004, Revised, which sets forth MTC's overall Bridge Toll Revenue Allocation Policy; and

WHEREAS, with the completion of the Regional Ferry Plan Update, MTC adopted Resolution No. 3149, which established a Five Percent Bridge Toll Revenues programming and allocation policy; and

WHEREAS, the California Department of Transportation (DEPARTMENT) entered into a cooperative agreement with the Bay Area Toll Authority (BATA) and MTC on the

federalization of toll bridge projects under BATA's jurisdiction and on the transfer of state funds to replace the five percent Bridge Toll Program funds for ferry operations; and

WHEREAS, under terms of the agreement between the DEPARTMENT, BATA, and MTC, MTC agreed, among other things, to amend its Five Percent Bridge Toll Revenues policy, as set forth in MTC Resolution No. 3149, and to program and allocate state funds made ("Five Percent State General Fund Revenues") available by the DEPARTMENT for transit operating purposes; and

WHEREAS, pursuant to the agreement between the DEPARTMENT, BATA, and MTC, MTC adopted Resolution 3288 to establish interim programming and allocation policies for the Five Percent State General Fund Revenues and Two Percent Bridge Toll Revenues program; and


WHEREAS, MTC adopted Resolution 3948 and BATA adopted Resolution 93 and executed a Funding Agreement relieving BATA of responsibility for making AB 664 Net Bridge Toll Revenues Reserve Transfers, Two Percent Transit Reserves Transfers, and Rail Extension Reserves Transfers for 50 years; and

WHEREAS, the adoption of Resolution 3948 necessitates an update and revision to policies governing the various bridge toll revenue and Five Percent State General Fund Revenues; now, therefore, be it

RESOLVED, that MTC adopts the programming and allocation policies for the AB 664 Net Bridge Toll Revenues, RM1 Regional Rail Extension Reserve, Two Percent Bridge Toll Revenues, and Five Percent State General Fund Revenues transit funding programs as set forth in Attachment A, attached hereto and incorporated herein as though set forth at length; and be it further

RESOLVED, that this resolution supersedes MTC Resolution Nos. 2004, 3149, and 3288.

METROPOLITAN TRANSPORTATION COMMISSION



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Adrienne J. Tissier, Chairperson

The above resolution was entered into by the Metropolitan Transportation Commission at a regular meeting of the Commission held in Oakland, California on June 22, 2011.

Date: June 22, 2011  
W.I.: 1514  
Referred By: PAC  
Revised: 12/20/17-C

Attachment A  
Resolution No. 4015  
Page 1 of 5

## **BRIDGE TOLL REVENUE AND STATE GENERAL FUND REVENUE ALLOCATION POLICY**

### **Definitions**

1. "MTC Transit Transfer" refers to the September 2010 payment made from BATA to MTC equal to the estimated present value of specified fund transfers for a 50 year period pursuant to BATA Resolution 93 and MTC Resolution 3948. The payment relieves BATA from making AB 664, Regional Measure 1, and MTC Two Percent Bridge Toll Revenues transfers to MTC for a 50 year period.
2. "AB 664 Net Bridge Toll Revenues" refers to revenues available pursuant to Streets and Highway Code (S& H Code) 30884 calculated as 16% of base toll revenue on the San Francisco-Oakland Bay Bridge, San Mateo, and Dumbarton Bridges to be used for transit capital purposes. Allocations are made from monies held by MTC pursuant to the MTC Transit Transfer.
3. "RM1 Rail Extension Reserve" is composed of not less than 90% of the revenues from the Class I toll increase on the Bay Bridge, as authorized by Regional Measure I and Streets and Highways Code § 30910 et seq. Pursuant to Streets and Highways Code § 30919, MTC must allocate these funds exclusively for rail transit capital extension and improvement projects designed to reduce vehicular traffic congestion on the Bay Bridge. Allocations are made from monies held by MTC pursuant to the MTC Transit Transfer.
4. "East Bay Rail Extension Reserve" consists of 70% of the MTC Rail Extension Reserve. These revenues are to be allocated to rail extension and improvement projects in Alameda and Contra Costa Counties. These projects include, but are not limited to, the BART extensions planned for the Concord-Antioch, Fremont-San Jose, and Bayfair-Livermore rail transit corridors. Allocations are made from monies held by MTC pursuant to the MTC Transit Transfer.
5. "West Bay Rail Extension Reserve" consists of 30% of the MTC Rail Extension Reserve. These revenues are to be allocated to rail extension and improvement projects in San Francisco, San Mateo, and Santa Clara Counties. No specific projects are mentioned in the legislation. Allocations are made from monies held by MTC pursuant to the MTC Transit Transfer.
6. "Two Percent Bridge Toll Revenues" refers to revenues available pursuant to S&H Code 30913(b) used for ferry capital and other capital improvements. Allocations are made from monies held by MTC pursuant to the MTC Transit Transfer.
7. "Five Percent State General Fund Revenues" is funded by the five percent (Five Percent) Bridge Toll Program State General Fund revenues delivered to MTC in amounts equal to projections of the Regional Measure 1 (RM 1) five percent (Five Percent) Bridge Toll Program, based on a cooperative agreement between MTC, BATA and Caltrans. These revenues are to be programmed and allocated for ferry transit operations and bicycle-related planning.

8. "Resolution No. 3434" refers to the region's adopted Regional Transit Expansion Program.

### **Objectives**

1. Maintain MTC's flexibility in allocations by avoiding rigid apportionment formulas.
2. Maximize the use of AB 664 Net Bridge Toll Revenues for meeting the local match required for transit capital projects programmed in the Transportation Improvement Program (TIP).
3. Sustain commitments made regarding allocations of new revenues.
4. Secure the financial integrity of the Resolution No. 3434 Program.

### **AB 664 Net Bridge Toll Revenues**

Pursuant to S&H Code 30884, AB 664 Net Bridge Toll Revenues are available for capital projects.

1. The first priority for AB 664 Net Bridge Toll Revenues is to match transit capital projects programmed for Federal Transit Administration (FTA) formula funds (the Urbanized Area Formula program, Bus & Bus Facilities Formula program, State of Good Repair Formula program, or successor programs) in the Transportation Improvement Program (TIP). Revenues in each year will be apportioned to each eligible operator in proportion to the operator's share of the FTA formula funds programmed for capital projects in the TIP in the same year.

Resolution No. 4123 establishes the Core Capacity Challenge Grant Program, and sets a fixed amount of AB 664 Net Bridge Toll Revenue funding for AC Transit, BART, and SFMTA for fleet rehabilitation, replacement, and expansion through FY2029-30. AB 664 Net Bridge Toll Revenue programming for those operators will be guided by Resolution No. 4123 and not Resolution No. 4015. This would apply to any successor programs or resolutions.

Capital projects funded with FTA formula funds, but which have defined MTC-approved funding plans (i.e., fund sources and timing specified) that do not include AB 664 Net Bridge Toll Revenue funding would be excluded from the operator's programming share of AB 664 Net Bridge Toll Revenues. This includes Caltrain's Peninsula Corridor Electrification Program and any other future projects with defined MTC-approved funding plans that do not include AB 664 Net Bridge Toll Revenues.

2. MTC will continue its practice of apportioning AB 664 Net Bridge Toll Revenues to eligible operators such that 70% of the funding is apportioned to East Bay transit operators and 30% is apportioned to West Bay transit operators.
3. Similar to the flexibility allowed under the STP/CMAQ program, where second and third year projects may be advanced to the first year for implementation, an operator may request MTC to advance AB 664 Net Bridge Toll Revenues for programmed projects, as long as funds are available for allocation, (e.g. an operator who is programmed revenues in the

third year of the TIP and wishes to exercise pre-award authority for these match funds may request MTC to release the funds.) MTC will determine funding availability and will consider whether there is a need for the advancement.

### **RM1 Regional Rail Extension Reserve**

To the extent feasible and required, maintain MTC's commitment to Resolution No. 3434 projects from the Rail Extension Reserve.

### **Two Percent Bridge Toll Revenues**

Pursuant to Streets and Highways Code Section 30913(b), two-thirds of the annual available funding shall be allocated to projects which are designed to reduce vehicular traffic congestion and improve bridge operations on any bridge, including, but not limited to, bicycle facilities and for the planning, construction, operation, and acquisition of rapid water transit systems. The remaining one-third is available solely for the planning, construction, operation, and acquisition of rapid water transit systems.

#### *Two Percent Bridge Toll Revenues Priorities and Estimated Annual Programming Amounts*

1. \$1 million to the Water Emergency Transit Authority (WETA) for ferry capital improvement projects.
2. \$450,000 to MTC for program management and capital support for the San Francisco Bay Trail.

\*Note that annual funding amounts are established and adjusted through the annual MTC fund estimate adoption

### **Five Percent State General Fund Revenues**

The Five Percent State General Fund Revenues are delivered to MTC in amounts equal to projections of the RM1 Five Percent Bridge Toll Program. These revenues are to be programmed and allocated for ferry transit operations and bicycle-related planning.

#### *Five Percent State General Fund Revenues Priorities and Estimated Annual Programming Amounts as of FY 2010-11*

1. \$2.8 million to the Water Emergency Transit Authority (WETA) for ferry capital improvement projects and ferry operations.
2. \$250,000 to MTC for planning for the San Francisco Bay Trail.

\*Note that annual funding amounts are established and adjusted through the annual MTC fund estimate adoption

The amount of Five Percent State General Fund Revenues programmed for the Bay Trail shall be adjusted by the rate of increase in Five Percent State General Fund Revenues or the rate of increase in the Consumer Price Index, whichever is less, every three years, with the first adjustment occurring with FY2011-12 based calculations. The Bay Trail shall be the sole priority for the Five Percent State General Fund Revenues for bicycle planning.

Program the remainder of the Five Percent State General Fund Revenues to WETA to support ferry service operations. Ferry services will need to have demonstrated an average 40% farebox

recovery ratio (the regional average for all publicly-operated services during the period from 2006 to 2010) for the operating agency in order to ensure continued funding for operations. An operator may meet this requirement based on their average farebox recovery for the most recent three-year period for which National Transit Database statistics are available or their annual farebox recovery for the most recent year for which data is available.

If an operator is unable to meet the performance measure, the funding that would have gone to the ferry operator could be directed by the Commission to a transit service/route that reduces vehicular congestion in one of the bridge group corridors, and has demonstrated the ability to meet the 40% farebox requirement. The service could be ferry or another transit mode, provided that the service/route can meet the performance measure. At least forty percent of the Five Percent funding must be directed toward ferry operations or capital as required.

### **Screening Criteria for all Two Percent Bridge Toll Revenue and Five Percent State General Fund Revenues Projects**

Project submittals for Five Percent State General Fund Revenues and the Two Percent Bridge Toll Revenues must be submitted to MTC for consideration and must meet all of the following screening criteria:

- project is ready for implementation, including having any necessary clearances or approvals, in the year indicated;
- project is well defined and justified in the project proposal;
- entity has the capacity to implement the project;
- entity has an adequate project financial plan, with reasonable cost estimates;
- project has been approved by the local entity's policy board; and
- project is identified in or is part of an adopted regional or local transportation plan.

In addition, entities requesting transit operating funds must:

- complete a Short Range Transit Plan (or similar planning document as specified by MTC) that identifies service plans and budgets for at least a 5-year period;
- be consistent with the adopted Regional Transportation Plan (RTP); and
- submit data on capital replacement needs to MTC, as requested.

MTC staff evaluates project proposals and develops an annual program of projects for Five Percent State General Fund Revenues and 2 % Bridge Toll Revenues. The program of projects is reviewed by the affected entities. MTC adopts the program of projects and allocates the Five Percent State General Fund Revenues and 2 % Bridge Toll Revenues according to the program.

**Timely Use of Funds for Two Percent Bridge Toll Revenues and Five Percent State General Fund Revenues**

All projects programmed with Two Percent Bridge Toll Revenues and Five Percent State General Fund Revenues are subject to the following timely use of funds (TUF) policy. Full disbursement of funds must be completed within three years plus the year in which funds are allocated for a project programmed Bridge Toll Revenues. (For example, funds allocated in FY 2010-11 must be fully disbursed by June 30, 2014. Any unspent funds at the end of September 30, 2014 (which includes a 3-month grace period) will automatically revert to the appropriate Bridge Toll Revenue account.)

**Timely Use of Funds for AB 664 Net Bridge Toll Revenues**

All projects programmed with AB 664 Net Bridge Toll Revenues are subject to the following TUF policy. Full disbursement of funds must be completed within four years plus the year in which funds are allocated for a project programmed Bridge Toll Revenues. (For example, funds allocated in FY2016-17 must be fully disbursed by June 30, 2021. Any unspent funds at the end of September 30, 2021 (which includes a 3-month grace period) will automatically revert to the AB 664 Net Bridge Toll Revenues account.)

Re-allocation of unspent (or lapsed) funds to the same operator and projects is not guaranteed, and is governed by the following principles:

- Reallocations are not routine. The operator must provide a compelling justification for any proposed reallocations. All requests, including emergency or urgent requests, will be considered on a case-by-case basis as exceptions and must be beyond the control of the operator.
- Reallocations are subject to MTC review and staff may seek input from the Partnership Transit Finance Working Group when considering reallocation requests.
- Reallocations due to an operator's failure to rebudget funds between eligible projects to adequately spend down the funds will generally not be considered.

Funds unspent at the end of the four-year period will revert to the AB 664 Net Bridge Toll Revenues account and will be made available for programming in future years.

**Annual Funding Levels for Two Percent Bridge Toll Revenues and Five Percent State General Fund Revenues**

Annual funding levels for Two Percent Bridge Toll Revenues and Five Percent State General Fund Revenues shall be established and adjusted through the annual MTC fund estimate adoption.



# APPENDIX A – 36

## *Regional Policies: Project Funding and Specific Funding Programs*

**Regional Measure 2 (RM2) Safe Routes to Transit  
Grant Program**

**MTC Resolution No. 3735**



Date: December 21, 2005  
W.I.: 1255  
Referred by: PAC  
Revised: 07/25/07-C  
07/28/10-C  
12/21/11-C  
02/26/14-C

ABSTRACT

MTC Resolution No. 3735, Revised

This resolution adopts the Regional Measure 2 (RM2) Safe Routes to Transit Grant Program.

The following attachment is provided with this resolution:

Attachment A — RM2 Safe Routes to Transit Grant Program Fund Recipients

This resolution was revised by Commission Action on July 25, 2007, to include the second cycle projects for the RM2 Safe Routes to Transit Grant Program.

This resolution was revised by Commission Action on July 28, 2010, to include the third cycle projects for the RM2 Safe Routes to Transit Grant Program.

This resolution was revised by Commission Action on December 21, 2011, to include the fourth cycle projects for the RM2 Safe Routes to Transit Grant Program. This resolution supersedes MTC Resolution No. 3932.

This resolution was revised by Commission Action on February 26, 2014, to include the fifth cycle projects for the RM2 Safe Routes to Transit Grant Program.

Further discussion of this action is contained in the Programming and Allocations Committee Summary Sheet dated December 14, 2005, July 11, 2007, July 28, 2010, December 14, 2011, and February 12, 2014.

Date: July 27, 2005  
W.I.: 1255  
Referred by: PAC

RE: Regional Measure 2 (RM2) Safe Routes to Transit Grant Program

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 3735

WHEREAS, pursuant to Government Code Section 66500 *et seq.*, the Metropolitan Transportation Commission (“MTC”) is the regional transportation planning agency for the San Francisco Bay Area; and

WHEREAS, Streets and Highways Code Sections 30950 *et seq.* created the Bay Area Toll Authority (“BATA”) which is a public instrumentality governed by the same board as that governing MTC; and

WHEREAS, on March 2, 2004, voters approved Regional Measure 2, increasing the toll for all vehicles on the seven state-owned toll bridges in the San Francisco Bay Area by \$1.00, with this extra dollar funding various transportation projects within the region that have been determined to reduce congestion or to make improvements to travel in the toll bridge corridors, as identified in SB 916 (Chapter 715, Statutes of 2004), commonly referred as Regional Measure 2 (“RM2”); and

WHEREAS, RM2 establishes the Regional Traffic Relief Plan and lists specific capital projects and programs and transit operating assistance eligible to receive RM2 funding as identified in Streets and Highways Code Sections 30914(c) & (d); and

WHEREAS, RM2 assigns administrative duties and responsibilities for the implementation of the Regional Traffic Relief Plan to MTC; and

WHEREAS, BATA shall fund the projects of the Regional Traffic Relief Plan by transferring RM2 authorized funds to MTC; and

WHEREAS, MTC adopted policies and procedures for the implementation of the Regional Measure 2 Regional Traffic Relief Plan, which specifies the allocation criteria and project compliance requirements for RM 2 funding (MTC Resolution No. 3636); and

WHEREAS, the RM2 Safe Routes to Transit Grant Program is identified as capital project number 20 under RM 2 and is a competitive grant program available to public agencies including transit operators, cities, and counties; and

WHEREAS, the Transportation and Land Use Coalition and the East Bay Bicycle Coalition and MTC developed a process and criteria to be used in the selection of the RM2 Safe Routes to Transit grant recipients to be funded with Regional Measure 2 funds; and

WHEREAS, Attachment A to this resolution, attached hereto and incorporated herein as though set forth at length, lists the recommended grant recipients and the correlated funding amounts; and

RESOLVED, that MTC approves MTC staff's review of the RM2 Safe Routes to Transit Grant applications; and be it further

RESOLVED, that MTC approves the list of grant recipients and their associated funding amounts as set forth in Attachment A; and, be it further

RESOLVED, that encumbrance of the Safe Routes to Transit grants require a subsequent action, whereby MTC allocates the RM2 funds specific to each grant recipient consistent with the provisions of the Regional Measure 2 Regional Traffic Relief Plan Policy and Procedures as set forth in length in MTC Resolution No. 3636.

METROPOLITAN TRANSPORTATION COMMISSION



Jon Rubin, Chair

The above resolution was entered into by the Metropolitan Transportation Commission at the regular meeting of the Commission held in Oakland, California, on December 21, 2005.

Date: December 21, 2005  
W.I.: 1255  
Referred by: PAC  
Revised: 07/25/07-C  
07/28/10-C  
12/21/11-C  
02/26/14-C

Attachment A  
MTC Resolution No. 3735  
Page 1 of 6

Cycle 1 Safe Routes to Transit Grant Program Projects

Primary Project Sponsor	Project Title	Capital or Planning Project	Award
AC Transit	AC Transit TransBay Expanded Bike Access*	Capital	\$180,000 \$0
AC Transit	AC Transit Bicycle Parking Plan	Planning	\$100,000
BART	BART C2 Rail Car Reconfiguration Project	Capital	\$581,000
City of Albany Community Development Department	El Cerrito/Albany Ohlone Greenway Safety Project	Capital	\$807,000
City of Berkeley	Downtown Berkeley BART Bikestation	Capital	\$496,784
City of Fairfield	Union Avenue/Suisun Train Station Enhancement Program	Capital	\$300,000
City of Oakland CEDA Redevelopment	MacArthur Transit Hub Streetscape Improvement Project Phase II	Capital	\$398,800
City of Oakland Public Works Department	MacArthur BART Station Bicycle Access Project Phase I	Planning	\$30,000
San Francisco Department of Parking & Traffic	Improved Bicycle Access to 16th Street BART Station	Capital	\$195,000
San Francisco Municipal Railway	Balboa Park Station Intermodal Connections	Planning	\$200,000
San Francisco Municipal Railway	Market Street Safety Zone Calming	Capital	\$600,000
Valley Transportation Authority	Santa Clara Transit Center–Pedestrian/Bike Crossing	Planning	\$50,000
<b>TOTAL</b>			<b>\$3,938,584</b> <b>\$3,758,584</b>

\* Project was deleted from the program subsequent to adoption.

Cycle 2 Safe Routes to Transit Grant Program Projects

<b>Primary Project Sponsor</b>	<b>Project Title</b>	<b>Capital or Planning Project</b>	<b>Award</b>
City of Pittsburg; Contra Costa County	Bailey Road Transit Access Improvement Project	Capital	\$650,000
San Francisco MTA; BART	Balboa Park Ocean Avenue Pedestrian/Bicycle Connections	Planning	\$181,280
BART	BART Electronic Bicycle Locker Gap Closure Project	Capital	\$200,000
BART; City of San Leandro	Bay Fair BART Station Area Improvement Plan	Planning	\$100,000
Contra Costa County; BART	Contra Costa Centre/Pleasant Hill BART Shortcut Path and Wayfinding Project*	Capital	<del>\$300,000</del> \$0
San Francisco MTA; SF Department of Public Works	Mission & Geneva Pedestrian Improvements	Capital	\$940,500
City of San Rafael	Puerto Suello Hill Path to San Rafael Transit Center Connector Project	Capital	\$600,000
City of Richmond; City of El Cerrito	Richmond/Ohlone Greenway Gap Closure—Class I Access to Transit	Planning	\$200,000
City of Berkeley, BART	Safe Routes to Ed Roberts Campus/Ashby BART	Capital	\$325,000
San Francisco MTA	24 <sup>th</sup> St. & Mission BART Station Area Access Improvements	Capital	\$450,000
<b>TOTAL</b>			<del><b>\$3,946,780</b></del> <b>\$3,646,780</b>

\* Project was deleted from the program subsequent to adoption.

Cycle 3 Safe Routes to Transit Grant Program Projects

<b>Primary Project Sponsor</b>	<b>Project Title</b>	<b>Capital or Planning Project</b>	<b>Award</b>
San Francisco MTA	Balboa Park Station Connections Project Phase II	Capital	\$722,000
BART	Bay Fair BART Safety and Security Improvement Project	Planning	\$196,077
City of Berkeley	Berkeley/AC Transit Ped and Bike Access Improvements*	Capital	<del>\$498,820</del> \$371,187
City of San Leandro	Downtown San Leandro BART Pedestrian and Bicycle Access Project*	Capital	<del>\$750,000</del> \$400,000
San Francisco MTA	Glen Park Area Bicycle Project	Capital	\$168,000
City of Santa Rosa	Highway 101 Bicycle/Pedestrian Overcrossing	Planning	\$100,000
City of Oakland	MacArthur Station Bicycle Access Project Phase II	Capital	\$242,500
San Francisco MTA	Market Street Multi-Modal Transportation Improvements Study	Planning	\$200,000
Richmond Community Redevelopment Agency	Nevin Avenue Bicycle/Pedestrian Improvements: BART to Civic Center	Capital	\$750,000
VTA	VTA Pilot Bike Sharing Implementation	Capital	500,000
West Contra Costa Transportation Advisory Committee	West Contra Costa/Albany Transit Wayfinding Plan	Planning	\$69,000
<b>TOTAL</b>			<del>\$4,196,397</del> <b>\$3,718,763</b>

\* Projects realized savings due to lower costs or revised scope.

Cycle 4 RM2 Safe Routes to Transit Grant Program Projects

<b>Primary Project Sponsor</b>	<b>Project Title</b>	<b>Capital or Planning Project</b>	<b>Award</b>
City of Oakland	19 <sup>th</sup> Street/Uptown Bikestation	Capital	\$531,000
San Francisco MTA	Bicycle-Transit System Integration	Planning	\$180,000
City of Richmond	Overcoming Physical Barriers to Safe Routes to Transit	Capital	\$501,829
San Francisco MTA	Polk Street Bicycle Gap Closure	Capital	\$584,000
City of San Jose	Safe Pathways to Diridon Station	Capital	\$675,000
Santa Clara Valley TA	Santa Clara Caltrain Station Pedestrian and Bicycle Access Tunnel	Capital	\$675,000
City of Emeryville	Star Intersection and San Pablo Avenue at 40th Street Transit Hub Bicycle/Pedestrian Improvements	Capital	\$450,000
City of San Bruno	Transit Corridor Pedestrian and Bike Connection Project	Capital	\$500,000
<b>TOTAL</b>			<b>\$4,096,829</b>



Cycle 5 RM2 Safe Routes to Transit Grant Program Projects

<b>Primary Project Sponsor</b>	<b>Project Title</b>	<b>Capital or Planning</b>	<b>Award</b>
City of Oakland	Rockridge BART Access Improvements	Capital	\$472,000
AC Transit	Design Standards and Guidelines Manual for Safe and Efficient Multi-modal Transit Stops and Corridors	Plan	\$100,000
City of Richmond	Carlson Boulevard Crosstown Connection Project	Capital	\$500,000
Sonoma Marin Area Rail Transit District	Regional SMART Pathway College Ave to Guerneville Rd	Capital	\$750,000
City of El Cerrito	San Pablo Avenue Specific Plan and Complete Streets Plan	Plan	\$100,000
San Francisco MTA	Long Term Bicycle Parking	Plan	\$200,000
Santa Clara Valley TA	Countywide Pedestrian Access to Transit Plan	Plan	\$100,000
City of South San Francisco	South San Francisco Caltrain Station Ped and Bike Underpass Plan	Capital	\$200,000
City of Concord	Concord Bike and Pedestrian Access to Transit	Plan	\$200,000
City of Vallejo	Curtola Parkway Class I Bike Path	Capital	\$750,000
AC Transit	Bus Bulb Parklet Design Standards and Guidelines Manual	Plan	\$100,000
Marin Department of Public Works	San Quentin Village Safe Access Gap Closure and Transit Stop Improvement Project	Capital	\$750,000
City of Oakland	Access Improvements to Lake Merritt BART Station	Capital	\$278,521
San Francisco MTA	Balboa Park Station Access and Safety	Capital	\$278,521
<b>TOTAL</b>			<b>\$4,779,042</b>

Additional Cycle 5 RM2 Safe Routes to Transit  
Grant Program Fund Recipients Should Savings Accrue to the Program (in priority order)

<b>Primary Project Sponsor</b>	<b>Project Title</b>	<b>Capital or Planning</b>	<b>Additional Funding Amount</b>
City of Oakland	Access Improvements to Lake Merritt BART Station	Capital	\$63,589
San Francisco MTA	Balboa Park Station Access and Safety	Capital	\$36,479
BART	West Oakland BART Bike Station	Capital	\$415,000
<b>TOTAL</b>			<b>\$515,068</b>

# APPENDIX A – 37

## *Regional Policies: Project Funding and Specific Funding Programs*

### Caltrans Toll Credit Use Policy



have their matching pro rata share available and are committed to providing it as applicable. The request must include the justification and a tapered match schedule.

The FHWA may approve cases where tapered match would:

- Expedite project completion.
- Reduce the project's overall cost.
- Provide incentive to attract additional nonfederal funds to the project.

### 3.9 FLEXIBLE MATCH

Federal flexible match provisions allow a wide variety of public and private contributions to be credited toward the nonfederal match for federal-aid projects. Eligible contributions include donations of public and private cash, R/W (Acquisition) and in certain cases, public and private materials or services rendered.

The use of flexible match also is subject to review and approval by both Caltrans (Office of Federal Resources) and the FHWA (California Division). The project sponsor must submit a written flexible match plan to the DLAE for review. The plan must specify the appraised value (fair market value) of donated property, materials, and/or services.

Eligibility of flexible match for credit against nonfederal match is subject to the following:

- **Cash** – Private, state, and local entity funds must be received during the period between project approval/authorization and submittal of the project final voucher.
- **Right of Way** – Private, state, local agency property may be donated any time during the project development process. The property must be appraised to determine the fair market value and must be included in the total project cost. The donation of the property shall not influence the NEPA process.
- **Materials** – Private and local entity donation of materials must be appraised to determine fair market value. Credit for state donated materials is not permitted.
- **Services** – State and local entity services may only be credited toward the nonfederal match for Transportation Enhancements (TE) projects. Private donation of services must be documented as to fair market value.

In addition to the referenced flexible match opportunities above, certain sources of federal grant funds may be eligible to match certain categories of highway projects. For more information refer to FHWA's "Innovative Finance Primer" Chapter 2 "Innovative Management of Federal Funds," located at: <http://www.fhwa.dot.gov/innovativefinance/ifp/innoman.htm>.

### 3.10 TOLL CREDIT IN LIEU OF NON-FEDERAL MATCH

Section 1508 of the Moving Ahead for Progress in the 21<sup>st</sup> Century Act (MAP-21) as established under Section 120(i) of the Title 23 of the United States Code (USC) authorizes states to use certain toll revenue expenditures as a credit toward the non-federal matching share of programs

authorized by Title 23 (except for the Emergency Relief (ER) Program) and for transit programs authorized by Chapter 53 of Title 49 of the USC.

Federal-aid highway projects typically require the project sponsors to provide a certain percentage of non-federal funds as match to the federal funds. For example, Surface Transportation Program (STP) funded projects require a minimum of 11.47% of non-federal match funds. Through the use of toll credits, the non-federal share match requirement can be met by applying an equal amount of toll credits and therefore *allow a project to be funded at 100% federal* for federally participating costs. Toll credits can be used on all federal-aid highway funding programs EXCEPT for the ER Program.

Local agencies may now use other federal funding to replace the required local match for both On-System Local Highway Bridge Program (HBP) projects and Highway Safety Improvement Program (HSIP) projects. With this option toll credits can be applied to each federal funding component in the project to increase the federal reimbursement rate to 100%. Caltrans policies also limits the use of toll credits on HSIP and HBP. (The limit of toll credit use for On-System Local Highway Bridge Program (HBP) projects and Highway Safety Improvement Program (HSIP) projects is because all available funds have been fully programmed and there are more needs than funding capacity).

Two websites have been added to the policy to assist local agencies that wish to use toll credits for the federal Planning and Federal Transit Administration (FTA) funds:

- [http://www.dot.ca.gov/hq/tpp/offices/orip/owp/index\\_files/Final\\_2011\\_RPH.pdf](http://www.dot.ca.gov/hq/tpp/offices/orip/owp/index_files/Final_2011_RPH.pdf)
- <http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/5311/transittollcreditsrev012611.pdf>

One of the conditions for FHWA's approval of the toll credits is that its use does not reduce the state's non-federal transportation capital expenditures. To conform to this policy, California must demonstrate continued efforts to maintain its non-federal transportation expenditures. Therefore, project sponsors that have savings of transportation dollars due to toll credit match of federal funds shall spend that savings on other transportation related projects.

In addition, it needs to be noted that the use of toll credits does not generate any additional federal funding. Its use is merely to meet the non-federal match requirement of the federal participating cost. The amount of toll credit available each year is limited by the amount of annual Federal Obligation Authority (OA).

Toll credits can be used in any phase of federal-aid projects (Preliminary Engineering, Right of Way, or Construction) as long as that phase of work has not been previously authorized. Caltrans policy does not allow the retroactive use of toll credits on a phase of work that has already received federal authorization. However, subsequent phases can be authorized to use toll credits.

In order to use toll credit, a project MUST meet the following requirements:

- The intended use of toll credits is explicitly expressed in the Request for Authorization (RFA) to proceed by marking the appropriate toll credit use area;
- Indicate the use of toll credits in the Remarks of the signed project Finance Letter;

- Be fully funded at the maximum allowable federal reimbursement rate, excluding federally non-participating costs;
- Programmed in the current Federal Statewide Transportation Improvement Program (FSTIP) as using toll credits;
- The project is funded with funds from one of the programs listed in Caltrans' Statewide Toll Credit Use Policy.
- Project must meet the eligibility criteria for that particular funding being used on the project.

The following examples demonstrate how the use of toll credits is different than the normal federal/non-federal match funding.

### Scenario A – Traditional Project Funding with Match

For a project with a total cost of \$120,000 including \$20,000 of federally non-participating costs (\$100,000 federally participating) using a federal reimbursement rate of 88.53%, the funding plan would normally be as indicated in the following Table 1.

Prog Code	Total Cost	Participating Cost	Federal Funds	Non-Federal Funds	Toll Credit
M240	\$120,000	\$100,000	\$88,530	\$31,470	\$0

The federal fund amount required in this scenario is \$88,530 (88.53%) of the participating cost and the non-federal funding amount is equal to the non-participating amount \$20,000 plus the required \$11,470 (11.47%) non-federal match for a total amount of \$31,470.

### Scenario B – Toll Credit Funding

When toll credit is being applied to the project, it will be used as a credit toward the non-federal share or \$11,470. Since toll credits are not federal funds, federal share must be increased to accommodate the reduction of Non-Federal funds resulting from the toll credit being used as indicated in the following Table 2.

Prog Code	Total Cost	Participating Cost	Federal Funds	Non-Federal Funds	Toll Credit
M240	\$120,000	\$100,000	\$100,000	\$20,000	\$11,470

The federal fund amount required is changed from \$88,530 (88.53%) to \$100,000, the total Participating Cost, and the non-federal funding amount is equal to the non-participating amount. This option is not applicable for Local HBP projects on the State Highway System and Highway Safety Improvement Program (HSIP) projects (see Scenario C below).

**Scenario C – Toll Credit with Dual Federal Funding**

This scenario is for an HSIP project using STP funds as a match. When other types of federal funding are being applied as a match to the project, each fund must be treated as a separate funding component with 100% federal funding and a corresponding toll credit. A toll credit value equal to the required non-federal match will be applied to each of the federal funding lines as indicated in Table 3.

<b>Funding Line</b>	<b>Prog Code</b>	<b>Total Cost</b>	<b>Participating Cost</b>	<b>Federal Funds 1</b>	<b>Federal Funds 2</b>	<b>Toll Credit</b>
1	MS30 (HSIP)	\$90,000	\$90,000	\$90,000	\$0	\$9,000
2	M240 (STP-Match)	\$10,000	\$10,000	\$0	\$10,000	\$1,147
	<b>Total</b>	<b>\$100,000</b>	<b>\$100,000</b>	<b>\$90,000</b>	<b>\$10,000</b>	<b>\$10,147</b>

For this example, the required non-federal match for HSIP funding line #1 is \$9,000 (10%). For funding line #2 the required match for STP funding is \$1,147 (11.47%). Therefore, the total amount of toll credit applied to this project is \$10,147. This option is applicable for On-System Local HBP projects and Highway Safety Improvement Program (HSIP) projects.

## Local Agencies:

- Work with the respective Metropolitan Planning Organization (MPO) or RTPA to ensure the use of toll credit is appropriate and that such use is properly programmed in the MPO's Federal Transportation Improvement Program (FTIP), and subsequently in the Federal Statewide Transportation Improvement Program (FSTIP);
- Submit Request for Authorization (RFA) and Finance Letter indicating the use of toll credits for the project; Federal funds must equal 100% of the total participating costs. Include a comment in the "Remarks" section of the Finance letter for the use of toll credits; and
- After receiving Authorization to Proceed, an executed Program Supplemental Agreement (PSA), and a State approved Finance Letter. Invoices for eligible costs may be billed at 100% of the participating costs.

Assume a project need of \$100,000.

With funds that you can normally use toll credits with, you have the breakdown below:

	TOTAL	PARTICIPATING	FEDERAL 1	LOCAL	TOLL CREDIT
Traditional	\$100,000	\$100,000	\$88,530	\$11,470	\$ 0
Toll Credit	\$100,000	\$100,000	\$100,000	\$0	\$11,470 (\$100,000 x .1147)

Using On-System Bridge funds, you must have a second non-HBP source of federal funds to make it work:

	TOTAL	PARTICIPATING	Federal 1 ON SYS HBP	Federal 2 STP	LOCAL	TOLL CREDIT
Traditional	\$100,000	\$100,000	\$88,530	\$0	\$11,470	\$0
-----						
Toll Credit (HBP piece)	\$88,530	\$88,530	\$88,530	\$0	\$0	\$10,154 (\$88,530 x .1147)
Toll Credit (STP piece)	\$11,470	\$11,470	\$0	\$11,470	\$0	\$1,316 (\$11,470 x .1147)
TOTAL	\$100,000	\$100,000	\$88,530	\$11,470	\$0	\$11,470

If, for example, the second fund source is DEMO, it would breakdown like this:

	TOTAL	PARTICIPATING	Federal 1 ON SYS HBP	Federal 2 DEMO	LOCAL	TOLL CREDIT
Traditional	\$100,000	\$100,000	\$88,530	\$0	\$11,470	\$0
-----						
Toll Credit (HBP piece)	\$88,530	\$88,530	\$88,530	\$0	\$0	\$10,154 (\$88,530 x .1147)
Toll Cre (DEMO* piece)	\$11,470	\$11,470	\$0	\$11,470	\$0	\$2,294 (\$11,470 x .20)
TOTAL	\$100,000	\$100,000	\$88,530	\$11,470	\$0	\$12,448

\*Note - Eligibility must be check when using DEMO or any other Federal funds in-lieu of the Local match.

Figure 3-6: Toll Credit Example



## CALIFORNIA DEPARTMENT OF TRANSPORTATION TOLL CREDIT USE POLICY

### **Background:**

Section 1111(c) of the Transportation Equity Act for the 21st Century (TEA21), 23 U.S.C., Section 1044 of ISTEA under Section 120(j), and 23 U.S.C., Section 1508 of MAP-21 under Section 120(i) allows states to use certain toll revenue expenditures as a credit toward the non-federal matching share of programs authorized by Title 23 (except for the emergency relief programs) and for transit programs authorized by Chapter 53 of Title 49.

During Fiscal Year (FY) 1992 through FY 2006, California has collected approximately \$18.2 billion in toll receipts, of which over \$7.1 billion was invested to build and/or improve public highway facilities. Based on federal statutes, the State applied for approximately \$5.7 billion in toll credits from investments during this time period. Now approved, these toll credits do not lapse until used by the state.

### **Effective Date and Duration:**

These guidelines apply permanently to the \$5.7 billion, which was conditionally approved by the FHWA for the State of California<sup>1</sup> along with any future toll credits which are received based on Caltrans maintenance of effort in conjunction with local toll collection and will remain in effect until rescinded or modified.

### **Guiding Principles for use of Toll Credits:**

- Compliance with state and federal statutes,
- Maximize the use of federal funds,
- Toll credits should not result in the redirection of non-federal funds away from transportation.

### **Constraints/requirements:**

- Use of toll credits does not generate additional federal funding and is limited to the non-federal match required for Apportionments and Obligation Authority (OA) available in any given year.
- All projects proposed to use toll-credits should be fully funded at the maximum allowable federal reimbursement rate.
- Use of toll credits will require amendments to current programming documents.
- FTIPs still need to be financially constrained.
- Toll credits may not be applied to projects funded with FHWA Emergency Relief funds or Appalachian Development Highway System (ADHS).
- The State must establish a special account to track toll credits.
- Processes for the tracking of toll credit usage must be established.

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<sup>1</sup> On June 1, 2005, the Department received approval from FHWA for \$104.026 million in toll credits from private entity expenditures on State Route 91. This \$104.026 million will be kept separate for use within Orange County.

## Distribution Process:

1. Toll credits will be made available statewide to the RTPAs and to the Department of Transportation for federal match to any eligible federal program. Local agencies may match the Highway Bridge Program for on federal-aid system projects, and local safety projects with any other type of federal funding, including the use of STIP shares, for which the project is eligible.
  - a. RTPAs will provide the Department with an estimate of the total need for toll credits for the FTIP period by programming year.
  - b. In order for the State to implement the usage of toll credits statewide, the RTPA must submit to the Department on or before October 1 of each federal fiscal year, a list of programmed FTIP projects that are planned to use the credits for the upcoming federal fiscal year (starting October 1).
2. Periodically, the policy will be re-evaluated and if necessary changes will be made to the methodology and process for the disbursement of toll credits to take effect in the federal fiscal year subsequent to adoption.
3. Further direction regarding toll credit policy for Planning and Federal Transit Administration can be found at:  
[http://www.dot.ca.gov/hq/tpp/offices/orip/owp/index\\_files/Final\\_2011\\_RPH.pdf](http://www.dot.ca.gov/hq/tpp/offices/orip/owp/index_files/Final_2011_RPH.pdf)  
<http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/5311/transittollcreditsrev012611.pdf>

## Monitoring and Reporting of Toll Credit Usage and Balance

In accordance to the FHWA February 8, 2007, Memorandum on Tolling and Pricing Program, Caltrans will establish and maintain a special account to track the use and balance of toll credits for FHWA funded projects.

As a pre-condition for utilizing toll credits on FTA funded projects, RTPAs and local agencies shall develop and maintain a special account to track the use and balance of toll credits acceptable to FTA and FHWA. The obligations of funds through FTA constitute final use of toll credits as FTA funds are not de-obligated but are amended through the FTA.

## APPROVED:



STEVEN KECK

Acting Chief Financial Officer



Date

# APPENDIX A – 38

## *Regional Policies: Project Funding and Specific Funding Programs*

**MTC Toll Credit Policy  
MTC Resolution No. 4008**



Date: April 27, 2011  
W.I.: 1512  
Referred by: PAC  
Revised: 09/26/12-C

ABSTRACT

Resolution No. 4008, Revised

This resolution establishes the regional policy for managing the use of Toll Credits, also known as Transportation Development Credits, within the San Francisco Bay Area.

This resolution includes the following attachments:

Attachment A – Regional Toll Credit Policy

Attachment A to the resolution was revised on September 26, 2012 to add a fourth principle for the use of toll credits for flexibility in managing programs of regional significance.

Additional discussion of this action is contained in the MTC Programming and Allocations Committee Summary dated April 13, 2011 and September 12, 2012.

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Date: April 27, 2011  
W.I.: 1512  
Referred by: PAC

Re: Regional Toll Credit Policy

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4008

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency (RTPA) for the San Francisco Bay Area pursuant to Government Code § 66500 et seq.; and

WHEREAS, MTC is the designated Metropolitan Planning Organization (MPO) for the nine-county San Francisco Bay Area Region (the region); and

WHEREAS, MTC, as the designated RTPA and MPO for the region, is responsible for programming and managing certain federal and state funding provided to the San Francisco Bay Area for transportation purposes; and

WHEREAS, Section 1111(c) of the Transportation Equity Act for the 21st Century (TEA21), and 23 U.S.C., Section 1044 of the Intermodal Surface Transportation Efficiency Act (ISTEA) under Section 120(j) allows states to use certain toll revenue expenditures as a credit toward the non-federal matching share of certain programs authorized by Title 23 (referred to as Toll Credits) and for transit programs authorized by Chapter 53 of Title 49 (referred to as Transportation Development Credits); and

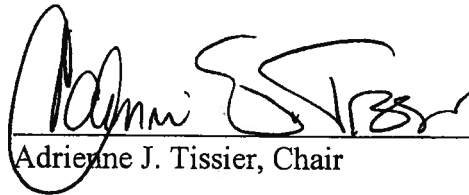
WHEREAS, the Federal Highway Administration (FHWA) has granted approval to Caltrans to use Toll Credits; and

WHEREAS, the California Department of Transportation (Caltrans) has developed a policy on the use of Toll Credits, including the monitoring and reporting of toll credit usage; and

WHEREAS, Attachment A to this resolution, attached hereto and incorporated herein as though set forth at length, establishes the policy principles for the region's use of Toll Credits, now therefore be it

RESOLVED, that MTC approves the regional Toll Credit policy for the San Francisco Bay Area as set forth in Attachment 'A' to this resolution; and be it further

METROPOLITAN TRANSPORTATION COMMISSION



Adrienne J. Tissier, Chair

The above resolution was entered into  
by the Metropolitan Transportation  
Commission at a regular meeting of the  
Commission held in Oakland, California,  
on April 27, 2011

Date: April 27, 2011  
W.I.: 1512  
Referred by: PAC  
Revised: 09/26/12-C

Attachment A  
MTC Resolution No. 4008  
Page 1 of 2

## **Regional Toll Credit Policy**

### **Background**

Section 1111(c) of the Transportation Equity Act for the 21st Century (TEA21), and 23 U.S.C., Section 1044 of the Intermodal Surface Transportation Efficiency Act (ISTEA) under Section 120(j) allows states to use certain toll revenue expenditures as a credit toward the non-federal matching share of certain programs authorized by Title 23 (referred to as toll credits) and for transit programs authorized by Chapter 53 of Title 49 (referred to as transportation development Credits).

Toll credits do not provide additional revenues, but rather allow the use of federal funds at a reimbursement rate of 100% without a required non-federal match.

The Federal Highway Administration (FHWA) approved approximately \$4.2 billion in toll credits for use in California.

Toll credits are managed by Caltrans at the state level.

### **Current State Toll Credit Policy**

Caltrans has established a toll credit policy for federal transportation funds managed by the state. The use of toll credits for STP/CMAQ and FTA Formula FG funds is at the discretion of the RTPA/designated recipient.

### **Regional Principles**

The use of toll credits should be focused toward the objectives below:

- **Maximize Efficient Use of Federal Funds:** Apply toll credits on large federalized projects to substitute for non-federal funding otherwise used as local match (e.g. County sales tax funds). This would allow the local funds to be used on other transportation projects and would focus federal funds on fewer, larger projects, while redirecting more flexible funding to other transportation projects that may have difficulty proceeding through the federal-aid process.
- **Facilitate Funding Exchanges:** Consider the use of toll credits if needed to facilitate the exchange of non-federal funds. Using toll credits maximizes the local dollars available for exchanges thereby expanding the 'pool' of non-federal funds with which to implement a broader range of regional transportation strategies, consistent with MTC's existing exchange program.

- **Target Federal Funds to Specific Phase(s):** For some projects it is often advantageous to use non-federal funds for specific phases, such as preliminary engineering, and use federal funds for other phases such as construction. However, it is difficult to obtain federal approval to consider local funding spent on earlier phases as match to federal funds in later phases. Sponsors tend to over-match smaller projects as a result. It is proposed that toll credits may be used on a case-by-case basis for a specific phase, where non-federal funds have been expended in excess of the required non-federal match in the earlier phases. The overall project would still have non-federal funding exceeding the required match for the entire project, while facilitating project delivery by targeting federal funds to a specific phase.
- **Flexibility for Programs of Regional Significance:** Allow toll credits for programs of regional significance including planning and outreach activities, allowing greater flexibility in managing on-going regional programs and planning efforts.

#### **Implementation**

The Toll Credit policy is to be implemented by MTC through the policies and procedures developed for the specific federal program managed by MTC.

This policy only applies to federal funds managed by MTC (including FTA 5307, FTA 5309 FG, STP and CMAQ).

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#### **Monitoring**

Toll credits are to be entered into MTC's Fund Management System (FMS) for tracking and reporting purposes.



# APPENDIX A – 39

## *Regional Policies: Project Funding and Specific Funding Programs*

**Cap and Trade Funding Framework and Process  
Development Guidelines**

**MTC Resolution No. 4130**



Date: December 18, 2013  
W.I.: 1515  
Referred by: PAC  
Revised: 04/27/16-C 11/20/19-C

ABSTRACT

Resolution No. 4130, Revised

This resolution establishes the Cap and Trade Funding Framework and Process Development Guidelines.

This resolution includes the following attachments:

A – Cap and Trade Funding Framework

B – Guideline Development Process

This resolution was revised on April 27, 2016 to update the Cap and Trade Funding Framework.

This resolution was revised on November 20, 2019 to update the Transit and Intercity Rail Capital Program sections of the Cap and Trade Funding Framework.

Further discussion of these actions is contained in the Programming and Allocations Summary Sheets dated November 13, 2013, December 11, 2013, April 13, 2016, and November 13, 2019, and the Commission handouts of December 18, 2013.

Date: December 18, 2013  
W.I.: 1515  
Referred by: PAC

RE: Cap and Trade Funding Framework and Process Development Guidelines

METROPOLITAN TRANSPORTATION COMMISSION  
RESOLUTION NO. 4130

WHEREAS, the Metropolitan Transportation Commission (MTC) is the regional transportation planning agency for the San Francisco Bay Area pursuant to Government Code Section 66500 et seq.; and

WHEREAS, Plan Bay Area (“Plan”), the region’s integrated long-range transportation and land use plan adopted by MTC, provides the planning foundation for transportation improvements and regional growth throughout the San Francisco Bay Area through 2040; and

WHEREAS, the Plan includes a \$3.1 billion reserve from future Cap and Trade funding; and

WHEREAS, the Plan identifies the expected uses of Cap and Trade funding as including but not limited to transit operating and capital rehabilitation/replacement, local streets and roads rehabilitation, goods movement, and transit-oriented affordable housing, consistent with the Plan's focused land use strategy; and

WHEREAS, the Plan states that Cap and Trade revenues will be allocated to specific programs through a transparent and inclusive regional public process; and

WHEREAS, the Plan calls for the process to ensure that at least 25 percent of the Cap and Trade revenues will be spent to benefit disadvantaged communities in the Bay Area; and

WHEREAS, the Plan directs a significant portion of the revenue generated from Cap and Trade funding be dedicated to unmet transit needs as a robust and efficient public transit network is critical for the Plan's compact land use strategy focused around existing and planned transit nodes; now therefore be it

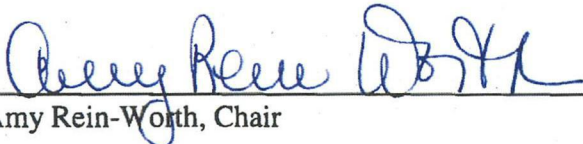
RESOLVED, that the Cap and Trade Funding Framework is a comprehensive strategy for reducing greenhouse gas emissions as outlined in Attachment A, attached hereto and incorporated herein as though set forth at length; and, be it further

RESOLVED, that Attachment B sets forth the Project Selection Process Development Guidelines for all funding categories with the exception of the Transit Core Capacity Challenge Grant Program; and be it further

RESOLVED, that the Transit Core Capacity Challenge Grant Program is detailed in Resolution No. 4123; and be it further

RESOLVED, that the funding framework established in Attachment A is subject to state statute and regulations governing the availability and use of the Cap and Trade Funding.

**METROPOLITAN TRANSPORTATION COMMISSION**

  
\_\_\_\_\_  
Amy Rein-Worth, Chair

The above resolution was entered into by the  
Metropolitan Transportation Commission  
at a regular meeting of the Commission held  
in Oakland, California, on December 18, 2013

Date: December 18, 2013  
W.I.: 1515  
Referred by: PAC  
Revised: 04/27/16-C 11/20/19-C

Attachment A  
Resolution No. 4130  
Page 1 of 4

## Attachment A

### Bay Area Cap and Trade Funding Framework

#### Cap and Trade Reserve Investment Principles

1. Cap and Trade Funds must have a strong nexus to Greenhouse Gas (GHG) reduction
2. Distribution of the available funds will serve to strategically advance the implementation of Plan Bay Area and related regional policies
3. Investment Categories and related Policy Initiatives will be structured to provide co-benefits and opportunities to leverage investments across categories and from multiple sources (public and private).
4. All Investment Categories should include funding that benefits disadvantaged communities in accordance with program guidelines from the applicable state agencies.

#### Cap and Trade Reserve Funding Categories

The following chart summarizes the framework including amounts from each category, with additional details following.

Funding Category	Amount (\$ millions)
1. Transit Core Capacity Challenge Grants Program/ TIRCP	3,000
2. Transit Operating and Efficiency Program/ LCTOP	1,136
3. One Bay Area Grants/ AHSC	5,000
4. High Speed Rail	TBD
5. Climate Initiatives	TBD
6. Goods Movement	TBD
TOTAL	TBD

#### **1. Transit and Intercity Rail Capital Program/ Transit Core Capacity Challenge Grants Program**

Plan Bay Area identifies a remaining need of \$17 billion over nearly three decades to achieve an optimal state of repair for the region's public transit network. The plan's in-fill and transit-oriented growth strategy relies on a well-maintained transit system to meet greenhouse gas emissions reduction targets and other plan performance objectives.

Proposal:

- Invest \$3.0 billion over the life of Plan Bay Area through the Transit and Intercity Rail Capital Program (TIRCP)
- The TIRCP, and including the Transit Core Capacity Challenge Grant Program:
  - accelerates fleet replacement and other state of good repair projects from Plan Bay Area, including “greening” the fleet and other strategic capital enhancements
  - focuses on BART, SFMTA, AC Transit, VTA, and Caltrain – transit operators that carry 91% of region’s passengers, account for approximately 88% of the plan’s estimated transit capital shortfall, and serve PDAs that are expected to accommodate the lion’s share of the region’s housing and employment growth
  - achieves roughly \$7 billion in total state of good repair investment by leveraging other regional discretionary funds and requiring a minimum approximate 30% local match from the three operators
  - Identifies funding for key transit expansion projects, and allows smaller operators and projects to seek funding from the discretionary TIRCP as needs arise
  - requires that participating operators meet the Transit Sustainability Project’s performance objectives outlined in MTC Resolution No. 4060
- MTC will consider endorsing requests up to \$15 million for projects not explicitly in the framework, conditioned on consistency with the region’s long range plan.
- See Attachment A-1 for full TIRCP framework.

**2. Low Carbon Transit Operations Program**

Plan Bay Area fully funds existing transit service levels at nearly \$115 billion over the three decade period, with an assumption that the largest transit operators achieve near-term performance improvements. However, the plan also identifies the importance of a more robust and expanded public transit network, anchored by expanded local service, as a key ingredient for success of Plan Bay Area’s growth strategy. In particular, the plan falls short of the funding necessary to meet the performance target of growth in the non-auto mode share to 26 percent of all trips.

Proposal:

- Invest \$302 million in Low Carbon Transit Operations Program (LCTOP) population-based funds over the life of Plan Bay Area as follows:
  - \$102 million to North Counties / Small Operators, distributed in same manner as State Transit Assistance population-based Northern Counties/Small Operators category as defined in MTC Resolution No. 3837
  - \$100 million to Clipper and fare policy investments
  - \$100 million to investments in key transit corridors, similar to the Transit Performance Initiative program, with AC Transit, SFMTA, and VTA receiving at minimum the following percentages based on ridership (50%) and service area population (50%):

- AC Transit: 16%
- SFMTA: 28%
- VTA: 17%
- These percentages would be achieved over a five year period, provided that the three operators have eligible, ready to go projects during a five year cycle.
- The remaining 39% would be available to any operator with suitable projects, including AC Transit, SFMTA, and VTA.
- All projects would be selected through a regional process.
- Full LCTOP framework is shown in Attachment A-2.

### **3. One Bay Area Grants/ Affordable Housing and Sustainable Communities Program**

Plan Bay Area invests over \$14 billion in transportation improvements concentrated near high quality transit and higher density housing – through the One Bay Area grant program – focusing on complete streets, bicycle and pedestrian facilities, and streetscape improvements. The Plan identifies a remaining need of \$20 billion over the next three decades to achieve a PCI score of 75, the Plan’s adopted performance target for pavement; of this, roughly 45% is for non-pavement infrastructure, critical for complete streets that would serve alternative modes and transit-oriented development that is a key part of Plan Bay Area’s growth strategy. Further, the provision of housing for low and moderate income households in areas that provide access to jobs was identified in Plan Bay Area as critical to sustaining the region’s economic growth and attaining the Plan’s GHG and Housing Targets.

#### Proposal:

- Target award of 40% of statewide Affordable Housing and Sustainable Communities program funding for projects in the Bay Area, equaling \$5 billion over the life of Plan Bay Area.

### **4. High Speed Rail**

Plan Bay Area includes several projects related to the California High Speed Rail project, including the electrification of Caltrain, and extension into downtown San Francisco. Twenty-five percent of Cap and Trade revenues are continuously appropriated to the California High Speed Rail Authority for planning and capital costs of the high speed rail project.

#### Proposal:

- Advocate for High Speed Rail investment in Bay Area elements of the system, including the Caltrain corridor and Transbay Transit Center / Caltrain Downtown Extension.

## **5. Climate Initiatives**

The Climate Initiatives Program is a multi-agency program focused on investments in technology advancements and incentives for travel options that help the Bay Area meet the GHG emission reduction targets related to SB375.

### Proposal:

- Advocate for Cap and Trade funding program out of the 40% of uncommitted revenues from which Climate Initiatives projects could be funded.

## **6. Goods Movement**

Goods movement investments fall into two categories: (1) projects focused on improving the efficiency of the movement of goods within and through the region, and (2) mitigation projects that reduce the associated environmental impacts on local communities. MTC recently adopted a regional goods movement plan that should form the basis for advocacy and project development.

### Proposal:

- Advocate for Cap and Trade funding program out of the 40% of uncommitted revenues from which goods movement projects could be funded.



Attachment A-1  
Transit and Intercity Rail Capital (TIRCP) Framework

Agency	Project/Category	TIRCP Framework Amount (\$millions)
<b>BART</b>	Train Control	250
	Hayward Maintenance Center	50
	Fleet Expansion	200
	<b>BART Total</b>	<b>500</b>
<b>SFMTA</b>	Fleet Expansion	481
	Facilities	67
	Core Capacity Study Projects/ BRT	237
	<b>SFMTA Total</b>	<b>785</b>
<b>AC Transit</b>	Fleet Expansion	90
	Facilities	50
	Major Corridors	200
	<b>AC Transit Total</b>	<b>340</b>
<b>VTA</b>	<b>BART to San Jose</b>	<b>750</b>
<b>Caltrain</b>	Electrification*	100
	EMUs	125
	<b>Caltrain Total</b>	<b>225</b>
<b>Multiple Operators</b>	<b>TBD Expansion Projects: High Ridership Bus, Rail and Ferry Corridors**</b>	<b>400</b>
<b>Region Total</b>		<b>\$3,000</b>

\*Assumes an equal or greater contribution from Cap and Trade High Speed Rail category, and an FTA Core Capacity commitment of \$447 million.

\*\*MTC will consider endorsing requests up to \$15 million for projects that are not explicitly in the framework if they are consistent with the region's long range plan.

## Attachment A-2

## Cap and Trade Framework

## Low Carbon Transit Operations Program Distribution - 24 year estimate

Estimates revenues based on State Controller's Office Letter dated 10/30/2015

Attachment A-2

Resolution No. 4130

Page 1 of 1

	Revenue-Based Funding Estimate*	Population-based Funding Estimate	Total Funding (Revenue-based and Pop.-based)
(\$ millions)			
<b>Operator / Entity / Program</b>	<b>835</b>	<b>302</b>	<b>1,136</b>
ACCMA - Corresponding to ACE	1.8	-	1.8
Caltrain	44.4	-	44.4
CCCTA	5.0	20.4	25.4
ECCTA	2.3	12.3	14.6
LAVTA	2.1	8.4	10.6
NCPTA	0.4	5.8	6.2
SamTrans	32.4	-	32.4
City of Union City	0.4	3.0	3.3
VTA	99.1	-	99.1
VTA - Corresponding to ACE	2.0	-	2.0
WCCTA	2.6	2.7	5.3
WETA	10.3	-	10.3
<i>Marin County</i>			-
GGBHTD	37.9	-	37.9
Marin Transit	-	-	-
Marin County Operators (TBD)	-	10.8	10.8
<i>Solano County</i>			-
City of Dixon	0.0	-	0.0
City of Fairfield	0.9	-	0.9
City of Rio Vista	0.0	-	0.0
City of Vacaville**	-	-	-
Solano County Transit	2.3	-	2.3
Solano County Operators (TBD)	-	17.5	17.5
<i>Sonoma County</i>			-
City of Healdsburg	0.0	-	0.0
City of Petaluma	0.2	-	0.2
City of Santa Rosa	1.1	-	1.1
Sonoma County Transit	1.3	-	1.3
Sonoma County Operators (TBD)	-	20.6	20.6
<b>SUBTOTAL</b>	<b>247</b>	<b>102</b>	<b>348</b>
AC Transit	70.8	-	70.8
BART	197.2	-	197.2
SFMTA	320.2	-	320.2
<b>SUBTOTAL</b>	<b>588</b>	<b>-</b>	<b>588</b>
Clipper and Fare Policy	-	100	100
Invest in key transit corridors (i.e. TPI)***	-	100	100

\* LCTOP Revenue-based funds are distributed per STA current revenue factors for LCTOP Population-based funds

\*\* Vacaville does not receive STA Revenue-based funds

\*\*\* The following operators will receive at minimum the following share of this program over each five-year period subject to provisions in Attachment A:

AC Transit: 16%; SFMTA: 28%; VTA: 17%

Date: December 18, 2013  
W.I.: 1515  
Referred by: PAC  
Revised: 04/27/16-C

Attachment B  
Resolution No. 4130  
Page 1 of 2

## **Attachment B**

### **Cap and Trade Guideline Development Process**

Following adoption of the Cap and Trade Funding Framework, and in conjunction with the timing for the applicable state program, staff will convene stakeholders to develop the project selection process and criteria for individual categories, summarized below:

- TIRCP/ Core Capacity Challenge Grant program\*
- Transit Operating and Efficiency Program/ LCTOP
- One Bay Area Grants/ AHSC
- High Speed Rail
- Climate Initiatives (if available)
- Goods Movement (if available)

The Transit Core Capacity Challenge Grant Program would also follow the process and project selection included in MTC Resolution No. 4123.

**Stakeholder Involvement:** Staff will provide information and develop processes with the Regional Advisory Working Group (RAWG), the Partnership Board and working groups, and the Policy Advisory Council (or their working groups), as appropriate. In addition, certain subject matter experts or stakeholders may be added to the standing working groups to provide information for specific categories of funding.

**Development of Program Guidelines:** Where MTC has discretion within the state programs, the development of project selection process and criteria is proposed to occur in conjunction with state program timelines, and will generally:

- Review studies/efforts completed to-date
- Develop draft guidelines
- Release the draft guidelines for stakeholder review
- Conduct project selection process
- Seek Commission approval for projects/program

<b>Process Steps</b>	<b>Work Plan and Timeframe</b>																				
Review Studies and Efforts Completed To-Date	<p>Staff will consider and review with stakeholders recent efforts completed for each of the Cap and Trade categories. Possible studies by category include:</p> <table border="0"> <tr> <td><b><i>Transit Operating and Efficiency/ LCTOP</i></b></td> <td><b><i>OneBayArea Grants/ AHSC</i></b></td> <td><b><i>Climate Initiatives</i></b></td> <td><b><i>Goods Movement</i></b></td> </tr> <tr> <td>1) Transit Sustainability Project</td> <td>1) Plan Bay Area</td> <td>1) Plan Bay Area</td> <td>1) Plan Bay Area</td> </tr> <tr> <td>2) Short Range Transit Plans or similar plans</td> <td>2) Cycle 1 Evaluation</td> <td>2) Innovative Grants Evaluation</td> <td>2) Regional Goods Movement Plan and update</td> </tr> <tr> <td></td> <td></td> <td>3) Air District Plans and programs</td> <td>3) California Freight Mobility Plan</td> </tr> <tr> <td></td> <td></td> <td>4) CARB programs</td> <td></td> </tr> </table>	<b><i>Transit Operating and Efficiency/ LCTOP</i></b>	<b><i>OneBayArea Grants/ AHSC</i></b>	<b><i>Climate Initiatives</i></b>	<b><i>Goods Movement</i></b>	1) Transit Sustainability Project	1) Plan Bay Area	1) Plan Bay Area	1) Plan Bay Area	2) Short Range Transit Plans or similar plans	2) Cycle 1 Evaluation	2) Innovative Grants Evaluation	2) Regional Goods Movement Plan and update			3) Air District Plans and programs	3) California Freight Mobility Plan			4) CARB programs	
<b><i>Transit Operating and Efficiency/ LCTOP</i></b>	<b><i>OneBayArea Grants/ AHSC</i></b>	<b><i>Climate Initiatives</i></b>	<b><i>Goods Movement</i></b>																		
1) Transit Sustainability Project	1) Plan Bay Area	1) Plan Bay Area	1) Plan Bay Area																		
2) Short Range Transit Plans or similar plans	2) Cycle 1 Evaluation	2) Innovative Grants Evaluation	2) Regional Goods Movement Plan and update																		
		3) Air District Plans and programs	3) California Freight Mobility Plan																		
		4) CARB programs																			
Develop the Guidelines	<p>The guidelines should consider the information gathered in the process steps above as well as state program guidelines and include the following:</p> <ol style="list-style-type: none"> <li>1) Eligible project types</li> <li>2) Individual project review and scoring</li> <li>3) Funding amount and timing</li> <li>4) Consistency with other initiatives</li> <li>5) Potential leverage opportunities/local match requirements</li> <li>6) Other requirements specified for funding eligibility (state requirements)</li> </ol>																				
Release the Draft Guidelines for Stakeholder Review	<p>Stakeholders would have an opportunity to review the draft guidelines and provide additional comments. Staff would review comments and finalize the guidelines accordingly.</p>																				
Conduct Project Selection	<ul style="list-style-type: none"> <li>• Conduct call for projects/information solicitation in accordance with MTC guidelines or state program guidelines</li> <li>• Seek Commission approval of projects/programs, or of an endorsement strategy</li> <li>• Submit information as required to applicable state agency</li> </ul>																				