



# Meeting Notice

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• [www.AlamedaCTC.org](http://www.AlamedaCTC.org)

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Arthur L. Dao

# Alameda County Technical Advisory Committee

**Thursday, February 8, 2018, 1:30 p.m.**

**1111 Broadway, Suite 800  
Oakland, CA 94607**

## **Mission Statement**

The mission of the Alameda County Transportation Commission (Alameda CTC) is to plan, fund, and deliver transportation programs and projects that expand access and improve mobility to foster a vibrant and livable Alameda County.

## **Public Comments**

Public comments are limited to 3 minutes. Items not on the agenda are covered during the Public Comment section of the meeting, and items specific to an agenda item are covered during that agenda item discussion. If you wish to make a comment, fill out a speaker card, hand it to the clerk of the Commission, and wait until the chair calls your name. When you are summoned, come to the microphone and give your name and comment.

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The executive director or designee may designate one or more locations from which members of the public may broadcast, photograph, video record, or tape record open and public meetings without causing a distraction. If the Commission or any committee reasonably finds that noise, illumination, or obstruction of view related to these activities would persistently disrupt the proceedings, these activities must be discontinued or restricted as determined by the Commission or such committee (CA Government Code Sections 54953.5-54953.6).

## **Reminder**

Please turn off your cell phones during the meeting. Please do not wear scented products so individuals with environmental sensitivities may attend the meeting.

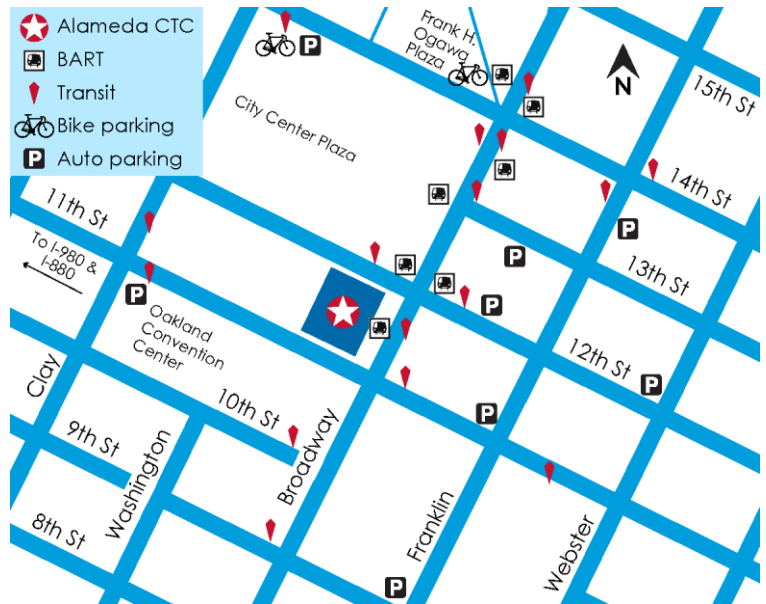
## **Glossary of Acronyms**

A glossary that includes frequently used acronyms is available on the Alameda CTC website at [www.AlamedaCTC.org/app\\_pages/view/8081](http://www.AlamedaCTC.org/app_pages/view/8081).

## Location Map

★ Alameda CTC  
1111 Broadway, Suite 800  
Oakland, CA 94607

Alameda CTC is accessible by multiple transportation modes. The office is conveniently located near the 12th Street/City Center BART station and many AC Transit bus lines. Bicycle parking is available on the street and in the BART station as well as in electronic lockers at 14th Street and Broadway near Frank Ogawa Plaza (requires purchase of key card from bikelink.org).



Garage parking is located beneath City Center, accessible via entrances on 14th Street between 1300 Clay Street and 505 14th Street buildings, or via 11th Street just past Clay Street. To plan your trip to Alameda CTC visit [www.511.org](http://www.511.org).

## Accessibility

Public meetings at Alameda CTC are wheelchair accessible under the Americans with Disabilities Act. Guide and assistance dogs are welcome. Call 510-208-7450 (Voice) or 1-800-855-7100 (TTY) five days in advance to request a sign-language interpreter.



## Meeting Schedule

The Alameda CTC meeting calendar lists all public meetings and is available at [www.AlamedaCTC.org/events/upcoming/now](http://www.AlamedaCTC.org/events/upcoming/now).

## Paperless Policy

On March 28, 2013, the Alameda CTC Commission approved the implementation of paperless meeting packet distribution. Hard copies are available by request only. Agendas and all accompanying staff reports are available electronically on the Alameda CTC website at [www.AlamedaCTC.org/events/month/now](http://www.AlamedaCTC.org/events/month/now).

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# Alameda County Technical Advisory Committee Meeting Agenda Thursday, February 8, 2018, 1:30 p.m.

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• [www.AlamedaCTC.org](http://www.AlamedaCTC.org)

## 1. Introductions/Roll Call

**Chair:** Arthur L. Dao, Alameda CTC Executive Director

## 2. Public Comment

**Staff Liaison:** Vivek Bhat

**Clerk:** Vanessa Lee

## 3. Administration

**Page A/I**

3.1. Approve the October 5, 2017 ACTAC Meeting Minutes.

1 A

## 4. Programs/Projects/Monitoring

4.1. Lifeline Transportation Program – Cycle 5 Guidelines and Programming process.

7 A

4.2. Transportation Fund for Clean Air (TFCA) FY2018-19 Policies and Expenditure Plan Application.

37 A

4.3. Development of the 2019 Transportation Improvement Program (TIP)

57 I

4.4. Alameda County Federal Inactive List.

69 I

## 5. Policy and Transportation Planning

5.1. Grade Crossing Analysis and Safety Improvements Update.

73 A

## 6. Member Reports

## 7. Adjournment/Next Meeting

Thursday, March 8, 2018

All items on the agenda are subject to action and/or change by the committee.

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## **Alameda County Technical Advisory Committee Fiscal Year 2017-2018**

### **Member Agencies**

AC Transit  
BART  
City of Alameda  
City of Albany  
City of Berkeley  
City of Dublin  
City of Emeryville  
City of Fremont  
City of Hayward  
City of Livermore  
City of Newark  
City of Oakland  
City of Piedmont  
City of Pleasanton  
City of San Leandro  
City of Union City  
County of Alameda

### **Other Agencies**

Chair, Alameda CTC  
ABAG  
ACE  
BAAQMD  
Caltrans  
CHP  
LAVTA  
MTC  
Port of Oakland  
Union City Transit  
WETA

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# Alameda County Technical Advisory Committee Meeting Minutes Thursday, October 5, 2017, 1:30 p.m.

3.1

1111 Broadway, Suite 800, Oakland, CA 94607

510.208.7400

www.AlamedaCTC.org

## 1. Introductions/Roll Call

Tess Lengyel called the meeting to order. A roll call was conducted. All members were present with the exception of Aleida Andrino-Chavez, Debbie Bell, Sergeant Ed Clarke, Kevin Connolly, Amber Evans, Anthony Fournier, Cindy Horvath, Ruben Izon, Mike Tassano, and Zhongping "John" Xu.

### Subsequent to the Roll Call

Amber Evans arrived prior to the vote of item 4.1; Aleida Andrino-Chavez arrived during item 4.2.

## 2. Public Comment

There were no public comments.

## 3. Administration

### **3.1 Approval of September 7, 2017 ACTAC Meeting Minutes**

Peter Brown asked that Alameda CTC come back to ACTAC with details on how the agency will determine the match for the Transportation Technology Initiative and Matching Opportunity, item 5.1 in the minutes.

*Obaid Khan moved to approve the meeting minutes. Bruce Williams seconded the motion. The motion passed with the following votes:*

Yes: Brown, Cooke, Davis, Evans, Hahn, Imai, Javandel, Kelley, Khan, Larsen, Lee, Lengyel, Payne, Ruark, Wegener, Williams

No: None

Abstain: None

Absent: Andrino-Chavez, Bell, Clarke, Connolly, Fournier, Horvath, Izon, Tassano, Xu

## 4. Programs/Projects/Monitoring

### **4.1. Approve Resolution 17-004, regarding the approval of the Alameda County 2018 STIP Project List; and approve Resolution 17-005, the project-specific resolution of local support for recommended STIP projects implemented by the Alameda CTC.**

Vivek Bhat recommended that ACTAC approve Resolution 17-004, regarding the approval of the Alameda County 2018 State Transportation Improvement Program (STIP) Project List; and approve Resolution 17-005, the project-specific resolution of local support for recommended STIP projects implemented by the Alameda CTC. Mr. Bhat stated that the recommendation for the Alameda County 2018 STIP Project List also includes an exchange component between STIP and Alameda CTC-administered local funds. The exchange proposal includes reprogramming \$12 million of existing STIP funding from the

East-West Connector project to the I-80 Gilman Interchange project in exchange for an equal amount of local funds and reprogramming \$2 million of 2018 STIP funds proposed for the Caldecott Settlement project to the SR-84 Widening and SR-84/I-680 Interchange Improvements project in exchange for an equal amount of local funds. Once approved by the Commission, this programming recommendation will be forwarded to the Metropolitan Transportation Commission (MTC) for consolidation into the Bay Area Regional STIP Program and subsequently forwarded to the California Transportation Commission (CTC) for final approval in March 2018.

*Obaid Khan moved to approve this item. Bruce Williams seconded the motion. The motion passed with the following votes:*

Yes: Brown, Cooke, Davis, Evans, Hahn, Imai, Javandel, Kelley, Khan, Larsen, Lee, Lengyel, Payne, Ruark, Wegener, Williams  
No: None  
Abstain: None  
Absent: Andrino-Chavez, Bell, Clarke, Connolly, Fournier, Horvath, Izon, Tassano, Xu

#### **4.2. Alameda County Federal Inactive Projects Update**

Jacki Taylor provided an update on the status of the federal programming in Alameda County, including the review of projects in MTC's Annual Obligation Plan, the Single Point of Contact (SPOC) checklist, and the current federal Inactive Projects List. She noted that MTC requires local agencies to comply with certain project delivery requirements in order to qualify for future federal funding MTC awards through its various discretionary funding programs and that MTC uses these tools to monitor and enforce their requirements.

*This item was for information only.*

### **5. Policy and Transportation Planning**

#### **5.1. Rail Strategy Study Update**

Tess Lengyel provided a brief overview of the Rail Strategy Study. She noted that this study is the result of recommendations included in the Alameda County Goods Movement Plan and the Countywide Transit Plan, which both identified significant growth potential for rail in Alameda County. Ms. Lengyel stated that this update focuses on the initial results of high-level capacity and operations analysis of the rail system in Alameda County that identifies current and future system constraints and provides an indication of the types of improvements that could increase operational efficiency of the system and/or reduce local impacts. She stated that this update also describes the initial work underway to develop a strategic framework for advancing grade crossing improvements.

Michael Fischer of Cambridge Systematics presented an update on the Rail Strategy Study. The presentation covered the background of the study, a description of existing rail infrastructure and preliminary issues, and an overview of grade crossings and community impacts that will be included in the full grade crossing analysis. Mr. Fischer concluded the presentation with information on next steps in the study development. Ms. Lengyel then



highlighted a set of core projects that constitute the initial framework for discussions with Union Pacific Railroad for improvements to the rail system.

*This item was for information only.*

## **6. Information Forum**

### **6.1. Bay Area Regional Advanced Mitigation Planning and East Bay Pilot.**

Vivek Bhat introduced Elizabeth O'Donoghue from the Nature Conservancy. Ms. O'Donoghue gave an overview of the East Bay Regional Conservation Investment Strategies. She noted that the strategies show a different way to perform environmental mitigation. She stated that mitigation for infrastructure projects is typically done on a project-by-project basis. The strategy will change the project approach by performing mitigation strategically using science and analysis to group mitigation needs for multiple projects in the future; and to make larger investments in conservation, so they can have a functional and ecological lift.

## **7. Member Reports**

### **7.1. Metropolitan Transportation Commission Local Streets and Roads Working Group.**

Vivek Bhat stated that the September Local Streets and Roads Working Group Meeting agenda was included in the packet. He noted that the next meeting is scheduled for Thursday, October 12, 2017.

Obaid Khan asked if MTC can show the meetings on its website. Mr. Bhat said that he will convey this to MTC.

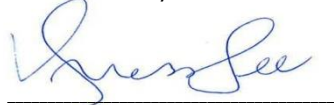
## **8. Adjournment and Next Meeting**

The meeting adjourned at 3:00 p.m. The next meeting is:

Date/Time: Thursday, November 9, 2017 at 1:30 p.m.

Location: Alameda CTC Offices, 1111 Broadway, Suite 800, Oakland, CA 94607

Attested by:



Vanessa Lee,  
Clerk of the Commission

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**ALAMEDA COUNTY TECHNICAL ADVISORY COMMITTEE****October 5, 2017****ROSTER OF MEETING ATTENDANCE**

NAME	JURISDICTION/ ORGANIZATION	PHONE #	E-MAIL
1. MIRA HAHM	CITY OF PIEDMONT	(510) 420-3054	
2. Keith Cooke	San Leandro	510-577-3428	KCooke@sanleandro.org
3. Fred Kerley	Hayward	510 533 4781	Fred.Kerley@hayward-ca.gov
4. David Khan	Dublin	925-833-6630	David.Khan@dublin-ca.gov
5. MATT DAVIS	PORT OF OAKLAND	510-627-1430	MDAVIS@PORTOAKLAND.ORG
6. Farid Javandel	City of Berkeley	510-981-7061	fjavandel@cityofberkeley.info
7. Hans Larsen	City of Fremont	510-494-4722	hlarsen@fremont.gov
8. Donna Lee	BART	510-464-6282	dlee@bart.gov
9. Bruce Will	Oakland	510-236-7229	brwilliams@oakland.gov
10. Tess Lengyel	Alameda CTC	510.208.7428	tlengyel@alamedactc.org
11. Virek Bhat	Alameda CTC	510 208 7400	Vbhat@alamedactc.org
12. PETER BROWN	AC Transit	510 891 7164	pbrown@actransit.org
13. Tom Quark	Union City	510 675-5301	thomasr@unioncity.org
14. Gail Payne	Alameda	510 747-6892	gpayne@alamedactc.org
15. Amber Evans	Emeryville	510.596-4382	amberevans@emeryville.org
16. Christy Wegener	LATA	925-455-1500	cwegener@lata.org
17. Trinity Nguyen	Alameda CTC	510.208.7441	trnguyen@alamedactc.org
18. Carolyn Cleverger	Alameda CTC	510 208 7496	ccleverger@alamedactc.org
19. Michael Fischer	AMORIS SYSTEMATICS	510-879-4313	mfischer@amsys.com
20. Dike Ahanotu	Camb Sys.	510-879-4324	dahanotu@amsys.com

NAME	JURISDICTION/ ORGANIZATION	PHONE #	E-MAIL
21. LIZ O'DONOGHUE	The Nature Conservancy	415-810-7352	EODONOGHUE@TNC.ORG
22. Saravona Suthanthira	Alameda CTC	510-508-8426	sauthanthira@alamedactc.org
23. Radiah T. Victor	PORT OF OAKLAND		rvictor@portofakland.com
24. Leslie Lara-Enríquez	ACTC		llenriquez@alamedactc.org
25. Kristen Kallanueva	ACTC		kallanueva@alamedactc.org
26. Chris G. Marks	alameda CTC		cmarks@alamedactc.org
27. Erica Trask	BOS DI		erica.trask@acgov.org
28. Jacki Taylor	ALAMEDA CTC		JTAYLOR@ALAMEDACTC.ORG
29. JOHN NGUYEN	ALAMEDA CTC		JNGUYEN@ALAMEDACTC.ORG
30. Andrea Gomez	Alameda CTC		agomez@alamedactc.org
31. ALEIDA ANDRANO-CHAVEZ	ALBANY		AACHAVEZ@ALBANYCA.ORG
32. Mark Hurley	ALBANY		MHurley@ALBANYCA.ORG
33. VIVEK BHAT	ALAMEDA CTC		vohat@alamedactc.org
34. JAYSON IMAI	NEWARK		jayson.imai@newark.org
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# Memorandum

4.1

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

**DATE:** February 1, 2018

**TO:** Alameda County Transportation Commission Board Members

**FROM:** Vivek Bhat, Director of Programming and Project Controls  
Jacki Taylor, Senior Program Analyst

**SUBJECT:** Cycle 5 Lifeline Transportation Program

## Recommendation

Approve the proposed programming process for the Cycle 5 Lifeline Transportation Program, including the release of a call for projects and approval of the project evaluation criteria and weighting for project selection.

## Summary

The Metropolitan Transportation Commission (MTC) Lifeline Transportation Program (LTP) funds projects that improve mobility for the region's low-income communities. In January 2018, MTC released the Cycle 5 LTP Guidelines (Attachment A) and the Lifeline Cycle 5 Fund Estimate (Attachment B), which identifies \$4.8 million for Alameda County from a mix of State Transit Assistance (STA) and Federal Transit Administration (FTA) Section 5307 funding. As with prior cycles, the Cycle 5 Lifeline program is to be administered by the region's Congestion Management Agencies (CMAs).

## Background

MTC established the Lifeline Transportation Program to address the mobility needs of low-income residents of the San Francisco Bay Area. The Lifeline Program is intended to support 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.

Lifeline projects are selected at the county level based on locally-identified needs. Common transportation gaps/ barriers identified through the local and regional planning efforts are spacial and temporal gaps in fixed route transit, safety and access to transit, and transit affordability. Projects typically funded through the Lifeline program include fixed-route transit, transit stop improvements, youth and senior transportation, community shuttles and mobility management activities.

## **Cycle 5 Program**

As with prior cycles, the region's CMAs continue to serve as the Lifeline Program Administrators for the funding distribution and project selection process within their respective counties. Overall, the Cycle 5 guidelines are very similar to the Cycle 4 guidelines, with the program goals, administration, and local match essentially unchanged. Some key features and additions for this cycle are:

- Fund Estimate - For Cycle 5, MTC estimates a total of approximately \$20 million in funding will be available for the region, \$14 million in STA and \$6.5 million in FTA Section 5307. MTC's Cycle 5 Fund Estimate (Attachment B) shows the fund distribution by county, with approximately \$4.8 million identified for Alameda County. The Cycle 5 fund estimate contains just two-years of revenue, FYs 2016-17 and 2017-18, and comprises fewer fund sources (no State Proposition 1B or federal STP), which is why the total amount of funding is substantially lower than prior Lifeline cycles.
- Eligible fund recipients – Consistent with Cycle 4, the eligibility for the fund sources available for Cycle 5 continues to be restricted to transit agencies. Non-profits and local government agencies are only eligible as sub-recipients of STA and Section 5307 funds, and would need to partner with an entity that is an eligible direct recipient (i.e., transit agency) that is willing to sponsor the project and pass-through the funds, which includes the review and payment of sub-recipient requests for reimbursement.

- Regional efforts - MTC has reserved \$1 million off of the top of the Cycle 5 fund estimate to pilot with a few CMAs to include a participatory budgeting process within a CBTP. The pilot will enable residents in Communities of Concern to develop and vote on project priorities as part of the development of a CBTP.

Appendix 1 of MTC's Cycle 5 Guidelines (Attachment A) provides detailed information for the two available fund sources, including sponsor and project eligibility, local match, timing of funds, and reporting requirements. The key eligibility and minimum local match requirements are included below:

<b>Key Requirement</b>	<b>STA</b>	<b>Federal 5307</b>
<b>Eligible Direct Recipients</b>	<b>Transit Operators</b> <ul style="list-style-type: none"> <li>Funds may be passed through to sub-recipients (cities, County, and non-profit agencies)</li> </ul>	<b>Transit Operators that are FTA grantees</b> <ul style="list-style-type: none"> <li>Funds may be passed through to sub-recipients (cities, County, and non-profit agencies)</li> </ul>
<b>Minimum Local Match</b>	<ul style="list-style-type: none"> <li><b>20%</b></li> </ul>	<ul style="list-style-type: none"> <li><b>50%</b> operations projects (may use STA funds for up to 30% of match)</li> <li><b>20%</b> capital projects</li> </ul>
<b>Eligible Projects</b>	<b>Transit operations and capital</b> , including: Fixed-route and shuttle operations, vehicle purchase, technology, capital improvements, mobility management.	<b>Operations and capital</b> , including late night, weekend and expansion of fixed route services, shuttles, ridesharing, ITS, demand response, mobility management.

MTC's Lifeline Cycle 5 Guidelines also identify a variety of planning resources to assist with the identification of candidate projects. Key resources for Alameda County projects include:

- [Alameda County CBTPs](#)
- [Map of MTC Communities of Concern \(CoC\)](#)
- [MTC's Draft 2017 Coordinated Public Transit-Human Services Transportation Plan](#)

### **Project Selection Process**

Applications will be solicited through a discretionary call for projects and the applications received will be scored by an evaluation panel in accordance with MTC's LTP Guidelines. MTC has established standard evaluation criteria be used to assess and select LTP projects. The six criteria include (1) project need/goals and objectives, (2) community-identified priority, (3) implementation plan and project

management capacity, (4) coordination and program outreach, (5) cost-effectiveness and performance indicators, and (6) project budget/sustainability. CMAs are to establish a weight to be assigned for each criterion. Additional criteria may be added to a county program, but should not replace or supplant the regional criteria. Attachment C details the proposed criteria and weighting for Cycle 5 which is unchanged from what the Alameda CTC approved for use in prior cycles.

In developing a Cycle 5 program, CMAs are to only program up to 95% of their county's STA fund estimate. A contingency project is to be identified to receive the additional 5%, after the actual STA revenue amounts are known.

### **Next Steps**

The Alameda CTC's proposed programming schedule for Cycle 5 (Attachment D) proposes a call for projects be released in late February 2018. As proposed, applications would be due to Alameda CTC in late March 2018, project evaluations would take place during April and a draft program would be presented to the Commission in May. Approved Cycle 5 programs are due to MTC by May 31, 2018.

MTC requires a resolution of local support from all project sponsors that are awarded Cycle 5 funding. These would be due to Alameda CTC by the end of May 2018. For projects sponsored by a pass-through agency, a resolution is also required from the sub-recipient.

**Fiscal Impact:** There is no fiscal impact to the Alameda CTC budget.

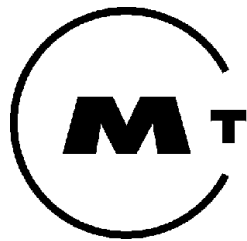
### **Attachments**

- A. MTC Cycle 5 Lifeline Transportation Program Guidelines
- B. MTC Cycle 5 Fund Estimate
- C. Alameda CTC Cycle 5 Evaluation Criteria
- D. Alameda CTC Cycle 5 Programming Schedule



Date: January 24, 2018  
W.I.: 1310  
Referred by: PAC

Attachment A  
MTC Resolution No. 4309  
Page 1 of 19



METROPOLITAN  
TRANSPORTATION  
COMMISSION

# **Lifeline Transportation Program Cycle 5 Guidelines**

January 2018

**METROPOLITAN TRANSPORTATION COMMISSION**

**LIFELINE TRANSPORTATION PROGRAM CYCLE 5 GUIDELINES**  
**FY 2017 AND FY 2018**

January 2018

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Appendix 1. Funding Source Information

Appendix 2. Standard Evaluation Criteria

**METROPOLITAN TRANSPORTATION COMMISSION  
LIFELINE TRANSPORTATION PROGRAM CYCLE 5 GUIDELINES  
FY 2017 AND FY 2018**

January 2018

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 county congestion management agencies (CMAs) or other designated county-wide agencies as follows:

<b>County</b>	<b>Lifeline Program Administrator</b>
Alameda	Alameda County Transportation Commission
Contra Costa	Contra Costa Transportation Authority
Marin	Transportation Authority of Marin
Napa	Napa Valley Transportation Authority
San Francisco	San Francisco County Transportation Authority
San Mateo	City/County Association of Governments
Santa Clara	Santa Clara Valley Transportation Authority and Santa Clara County
Solano	Solano Transportation Authority
Sonoma	Sonoma County Transportation Authority

3. **FUNDING APPORTIONMENT AND AVAILABILITY.** Fund sources for the Cycle 5 Lifeline Transportation Program include State Transit Assistance (STA), and Federal Transit Administration (FTA) Section 5307 Urbanized Area Formula<sup>1</sup> funds. Cycle 5 will cover a two-year programming cycle, FY2016-17 to FY2017-18.

- a. **STA and FTA Section 5307.** Funding for STA and FTA Section 5307 will be assigned to counties by each fund source, based on the county's share of the regional low-income population (see Figure 1).<sup>2</sup> Lifeline Program Administrators will assign funds to eligible projects in their counties. See Section 5 for details about the STA and FTA Section 5307 programming process and Appendix 1 for detailed eligibility requirements by fund source.

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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 made eligible for 5307 funding, and, consistent with MTC's Transit Capital Priorities (TCP) Process and Criteria (MTC Resolution Nos. 4242), in the and FY2016-17 and FY2017-18 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 urbanized area (UA), so the distribution of 5307 funds will also need to take UA boundaries into consideration.

**Figure 1. County and Share of Regional Poverty Population**

<i>County</i>	<i>Share of Regional Low Income (&lt;200% Poverty) Population</i>
Alameda	23.1%
Contra Costa	14.7%
Marin	2.7%
Napa	2.1%
San Francisco	12.2%
San Mateo	8.4%
Santa Clara	22.5%
Solano	6.6%
Sonoma	7.7%
Total	100.0%

Source: American Community Survey, 2011-2015, 5-Year Estimate

- b. Participatory Budgeting. Subject to funding available from a proposed 2018 Caltrans Planning Grant, MTC will pilot a voluntary participatory budgeting (PB) process. The participatory budgeting process enables residents in Communities of Concern to develop and vote on project priorities working through their CMA's Community-Based Transportation Planning process. Selected projects are then funded as part of an available/dedicated budget. MTC will set aside up to \$1 million off the top from the Lifeline Transportation Program for projects identified through this pilot. Projects identified through the PB process will be presented to the Commission at a future date. CMA's that want to participate in this pilot should contact MTC staff by January 30, 2018.
- c. Local Fund Exchanges. Consistent with MTC Resolution No. 3331, MTC will allow County Lifeline Program Administrators to use local fund exchanges to fund projects that are not otherwise eligible for the state and federal funds in Cycle 5. Lifeline Program Administrators must notify MTC about their intent to exchange funds, and MTC staff will review and approve the exchanges on a case-by-case basis. MTC staff is supportive of these fund exchanges to the extent that the exchange projects meet the spirit of the Lifeline Transportation Program.

#### 4. ELIGIBLE RECIPIENTS/SUBRECIPIENTS

- a. STA. There are three categories of eligible recipients of STA funds: a) transit operators; b) Consolidated Transportation Service Agencies (CTSAs); and, c) Cities and Counties that are eligible to claim Transportation Development Act (TDA) Article 4, 4.5 or 8 funds.

Non-profit organizations and Cities/Counties that are not eligible TDA Article 4, 4.5 or 8 claimants are only eligible for STA funds if they partner with an eligible STA recipient

(e.g., a transit operator) that is willing to serve as the recipient of the funds and pass through the funds to the non-profit or City/County, and if they have an eligible project.

- b. FTA Section 5307. 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. STA AND FTA SECTION 5307 PROGRAMMING PROCESS. For STA and FTA Section 5307 funds, Lifeline Program Administrators are responsible for soliciting applications for the Lifeline Transportation Program.

Consistent with MTC's Public Participation Plan and FTA's Title VI Circular (FTA C 4702.1B), MTC encourages Lifeline Program Administrators to conduct a broad, inclusive public involvement process, and use multiple methods of public outreach. Funds in the Cycle 5 program are predominantly restricted to transit operators (see Section 4 for recipient eligibility restrictions). Therefore, MTC also acknowledges that each Lifeline Program Administrator's public outreach strategy will be tailored accordingly.

Methods of public outreach may include, but are not limited to, highlighting the program and application solicitation on the CMA website, and sending targeted postcards and e-mails to all prospective applicants, including those that serve predominantly minority and low-income populations.

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.

CMAs are required to document the outreach effort undertaken for the local call for projects and provide MTC with a description of how the public was involved in the process for nominating and/or commenting on projects selected for Lifeline Transportation Program funding.

- a. Competitive Process. STA and FTA Section 5307 projects must be selected through an open, competitive process, with the following exception: In an effort to address the sustainability of fixed-route transit operations, Lifeline Program Administrators may elect to allocate some or all of their STA and/or Section 5307 funds directly to transit operators 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. STA Contingency Programming. Due to the uncertainty of forecasting STA revenues, the Lifeline Program Administrators will program 95 percent of their county's estimated STA amount, and develop a contingency plan for the remaining five percent should it be available. Contingency project(s) are to be identified and separately listed should the contingency funds become available. Contingency funds are not to be dispersed throughout all Lifeline projects.

## 6. ELIGIBLE ACTIVITIES

- a. Eligible operating projects. Eligible operating projects, consistent with requirements of funding sources, may 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.
- 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 MATCHING 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. However, consistent with MTC’s approach in previous funding cycles, Lifeline Program Administrators may use STA funds to cover the 30% difference for projects that are eligible for *both* 5307 and STA funds.
    - (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 is being updated in early 2018. The previous version approved in March 2013 is available at:

[https://mtc.ca.gov/sites/default/files/Coord\\_Plan\\_Update.pdf](https://mtc.ca.gov/sites/default/files/Coord_Plan_Update.pdf) , and the draft update to the plan is available at: <https://mtc.ca.gov/our-work/plans-projects/other-plans/coordinated-public-transit-human-services-transportation-plan>

Mobility management was a key coordination strategy recommended in the 2013 plan update and in the draft 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, the Lifeline Program Administrators may, at their discretion, choose to award extra points to—or otherwise give priority to—projects sponsored by or coordinated with County or sub regional Mobility Managers or CTSAs.

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, but, with review and approval from MTC, may be modified as appropriate by the Lifeline Program Administrator for inclusion of county-specific grant requirements.

Applicants with multi-county projects must notify the relevant Lifeline Program Administrators and MTC about their intent to submit a multi-county project, and submit copies of their application to all of the relevant counties. If the counties have different application forms, the applicant can submit the same form to all counties, but should contact the Lifeline Program Administrators to determine the appropriate form. If the counties have

different application deadlines, the applicant should adhere to the earliest deadline. The Lifeline Program Administrators will work together to score and rank the multi-county projects, and, if selected, to determine appropriate funding. (Note: Multi-county operators with projects that are located in a single county need only apply to the county where the project is located.)

#### 10. APPLICATION EVALUATION

- a. Evaluation criteria. Standard evaluation criteria will be used to assess and select projects. The six criteria include (1) project need/goals and objectives, (2) community-identified priority, (3) implementation plan and project management capacity, (4) coordination and program outreach, (5) cost-effectiveness and performance indicators, and (6) project budget/sustainability. Lifeline Program Administrators will establish the weight to be assigned for each criterion in the assessment process.

Additional criteria may be added to a county program but should not replace or supplant the regional criteria. MTC staff will review the proposed county program criteria to ensure consistency and to facilitate coordination among county programs.

See Appendix 2 for the detailed standard evaluation criteria.

- b. Evaluation panel. Each county will appoint a local evaluation panel of CMA staff, the local low-income or minority representative from MTC's Policy Advisory Council (if available), and representatives of local stakeholders, such as transit operators, other transportation providers, community-based organizations, social service agencies, and local jurisdictions, to score and select projects. Counties are strongly encouraged to appoint a diverse group of stakeholders for their local evaluation panel. Each county will assign local priorities for project selection by establishing the weight for each criterion and, at the CMA's discretion, adding local criteria to the standard regional criteria.

11. COUNTYWIDE PROGRAM OF PROJECTS. A full program of projects is due to MTC from each Lifeline Program Administrator based on the timeline outlined in Section 18. While FY2017 FTA funds have been appropriated by Congress and can be considered secured, full FY2018 funds have yet to be appropriated. Given state and federal funding uncertainties, sponsors with projects selected for FY2018 Section 5307 funds and FY2018 STA funds should plan to defer the start of those projects until the funding is appropriated and secured. Lifeline Program Administrators, at their discretion, may opt to allot unused prior year funds to high scoring projects so they can be started quickly. MTC staff will work with Lifeline Program Administrators on this sequencing; MTC staff expects that more will be known about the FY2018 FTA Section 5307 funds and the FY2018 STA funds in calendar year 2018.

#### 12. POLICY BOARD ADOPTION

- a. Project sponsor resolution of local support. Prior to MTC's programming of Lifeline Cycle 5 funds (STA and FTA Section 5307) to any project, MTC requires that the project sponsor 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 of local support template. The County Lifeline Program Administrators have the option of collecting the resolutions of local support from project sponsors along with the project applications, or after the project is selected by the County for funding.
- b. Lifeline Program Administrator/CMA Board Resolution and Concurrence
  - (1) STA and FTA Section 5307. Projects recommended for STA and FTA Section 5307 funding must be submitted to and approved by the respective governing board of the Lifeline Program Administrator.

13. PROJECT DELIVERY. All projects funded under the county programs are subject to the following MTC project delivery requirements:

- a. FTA Section 5307. 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 2021 for FY2017 funds
  - August 2022 for FY2018 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. Any FTA Section 5307 funds not obligated in a grant by the end of five years from the year of appropriation by Congress will lapse and return to FTA for reallocation in future years. (i.e. funds appropriated by Congress in FY2017 will lapse at the end of Federal Fiscal Year 2022.) Direct recipients are responsible for carrying out the terms of their grants.

- b. STA. Project sponsors must expend the Lifeline Transportation Program STA funds within three years of the date that the funds are programmed by MTC or the date that the agreement with pass-through agency is executed, whichever is applicable.

14. PROJECT OVERSIGHT. For Lifeline projects funded by STA and FTA Section 5307, Lifeline Program Administrators are responsible for programmatic and fiscal oversight, and for monitoring project sponsors in meeting the MTC obligation deadlines and project

delivery requirements. In addition, Lifeline Program Administrators will ensure that projects substantially 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 the Lifeline Program Administrators are responsible for approving budget and scope of work changes prior to MTC's authorization. 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. Lifeline Program Administrators will forward all reports containing performance measures to MTC for review and overall monitoring of the Lifeline Transportation Program.

16. FUND ADMINISTRATION

- a. FTA Section 5307. 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.

- b. STA. For transit operators receiving STA funds, MTC will allocate funds directly through the annual STA claims process. For other STA eligible projects administered by sponsors who are not STA eligible recipients, the project sponsor is responsible for identifying a local transit operator who will act as a pass-through for the STA funds, and

will likely enter into a funding agreement directly with the project sponsor. Project sponsors are responsible for entering their own STA projects into the TIP.

17. COMPLIANCE WITH FEDERAL REQUIREMENTS.

- a. Lifeline Program Administrator Responsibilities. For the selection of projects to be funded with FTA Section 5307 funds, in accordance with federal Title VI requirements, Lifeline Program Administrators must distribute the FTA funds without regard to race, color, and national origin, and must assure that minority populations are not being denied the benefits of or excluded from participation in the program. Lifeline Program Administrators shall develop the program of projects or competitive selection process to ensure the equitable distribution of FTA Section 5307 funds to project sponsors that serve predominantly minority populations. Equitable distribution can be achieved by engaging in outreach to diverse stakeholders regarding the availability of funds, and ensuring the competitive process is not itself a barrier to selection of applicants that serve predominantly minority populations.
- b. Project Sponsor 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. TIMELINE. The anticipated timeline for Cycle 5 is as follows:

<b>Program</b>	<b>Action</b>	<b>Anticipated Date*</b>
All	Commission approves Cycle 5 Program Guidelines	January 24, 2018
All	MTC issues guidelines to counties	January 31, 2018
5307 & STA	CMA Board-approved** programs due to MTC from CMAs	May 31, 2018
5307	Project sponsors submit TIP amendments	June 2018***
<b>All</b>	<b>MTC Commission approval of Program of Projects</b>	<b>July 2018</b>
STA	Operators can file claims for Lifeline Cycle 5 STA funds	After July Commission Approval
5307	Deadline for transit operators (FTA grantees) to submit FTA grants for FY17 and FY18 funds	Submit grants once TIP Amendment is federally approved

\* Dates subject to change depending on State and Federal deadlines and availability of funds.

\*\* CMA Board approval and concurrence may be pending at the time of deadline.

\*\*\* Due date for final 2017 TIP amendment tentatively scheduled for mid-June 2018, subject to change. If projects are not included in final 2017 TIP amendment, the projects can be submitted via FMS for initial 2019 TIP in late 2018.

**Appendix 1**  
**Lifeline Transportation Program Cycle 5**  
**Funding Source Information**

	State Transit Assistance (STA)	FTA Section 5307
Purpose of Fund Source	<b>To improve existing public transportation services and encourage regional transportation coordination</b>	<b>To support the continuation and expansion of public transportation services in the United States</b>
Detailed Guidelines	<a href="http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/STIP/TDA_4-17-2013.pdf">http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/STIP/TDA_4-17-2013.pdf</a>	<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 public transportation purposes including community transit services	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</li> <li>▪ Consolidated Transportation Service Agencies (CTSAs)</li> <li>▪ Cities and Counties if eligible to claim TDA Article 4, 4.5 or 8 funds</li> </ul>	<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>▪ Cities and counties that are not eligible to claim TDA Article 4, 4.5 or 8 funds</li> </ul>	<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>

	State Transit Assistance (STA)	FTA Section 5307
Eligible Projects	<p><b><u>Transit Capital and Operations, including:</u></b></p> <ul style="list-style-type: none"> <li>▪ New, continued or expanded fixed-route service</li> <li>▪ Purchase of vehicles</li> <li>▪ Shuttle service if available for use by the general public</li> <li>▪ Purchase of technology (e.g., GPS, other ITS applications)</li> <li>▪ Capital projects such as bus stop improvements, including bus benches, shelters, etc.</li> <li>▪ Various elements of mobility management, if consistent with STA program purpose and allowable use. These may include planning, coordinating, capital or operating activities.</li> </ul>	<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>



	State Transit Assistance (STA)	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 project sponsor	<p>Transit operators, CTSAs and eligible cities and counties can initiate claims for FY17 and FY18 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 Lifeline Program Administrators 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 Lifeline Program Administrators for review.</p>	<p>FTA grantees are responsible for following all applicable federal requirements for preparing and maintaining their Section 5307 grants. MTC and/or the Lifeline Program Administrators 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 Lifeline Program Administrators 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 January 2018. MTC will strive to make Lifeline Program Administrators 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 5 Standard Evaluation Criteria

The following standard evaluation criteria are intended to provide consistent guidance to each county in prioritizing and selecting projects to receive Lifeline Transportation Program funds. Each county, in consultation with other stakeholder representatives on the selection committee, will consider these criteria when selecting projects, and establish the weight to be assigned to each of the criterion. Additional criteria may be added to a county program but should not replace or supplant the regional criteria. MTC staff will review the proposed county program criteria to ensure consistency and to facilitate coordination among county programs.

- a. Project Need/Goals and Objectives:** 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:** 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.

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, 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)

- 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:** Proposed projects will be evaluated 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 evaluated 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.

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**Attachment A – Lifeline Transportation Program  
Cycle 5 Funding  
FY2016-17 through FY2017-18**

<b>Fund Source</b>	<b>FY2017</b>	<b>FY2018</b>	<b>Total</b>
STA <sup>1</sup>	\$ 7,293,727	\$ 8,260,121	\$ 15,553,848
5307 <sup>2</sup>	\$ 3,368,200	\$ 3,437,064	\$ 6,805,264
<b>Total</b>	<b>\$ 10,661,927</b>	<b>\$ 11,697,185</b>	<b>\$ 22,359,112</b>

**Notes:**

(1) FY2017 & FY2018 total STA revenue generation amounts are consistent with those in the most recent MTC Fund Estimate (MTC Resolution No. 4268 - 11/15/2017). Due to lower than expected revenue in Lifeline Cycle 4 FY 2016, funds in FY 2017 are being used to complete Cycle 4. The remaining FY 2017 funds and all FY 2018 funds are available for Lifeline Cycle 5.

(2) The FY2017 FTA Section 5307 amount is based on programming in the Transit Capital Priorities Program (Res. 4272). The FY2018 Section 5307 amount is preliminary, based on proposed programming being presented in January 2018.

## Attachment B – Estimated STA & 5307 Funding Targets by County

County & Share of Regional Low Income Population <sup>(1)</sup>	FY2017		FY2018		Total	Two-Year Total by Fund Source	
	STA <sup>(2)</sup>	5307	STA	5307		STA <sup>(3)</sup>	5307 <sup>(4)</sup>
	<i>Actual</i>	<i>Actual</i>	<i>Estimate</i>	<i>Estimate</i>		<i>Estimate</i>	<i>Estimate</i>
Alameda 23.1%	1,682,720	749,748	1,674,967	765,077	4,872,512	3,357,687	1,514,825
Contra Costa 14.7%	1,075,640	479,259	1,070,684	489,057	3,114,639	2,146,323	968,316
Marin 2.7%	193,466	86,200	192,575	87,963	560,204	386,041	174,163
Napa 2.1%	152,057	74,438	151,356	75,960	453,811	303,413	150,398
San Francisco 12.2%	890,405	396,726	886,302	404,837	2,578,270	1,776,707	801,563
San Mateo 8.4%	612,417	272,866	609,595	278,445	1,773,323	1,222,012	551,311
Santa Clara 22.5%	1,640,147	782,739	1,632,590	798,743	4,854,220	3,272,738	1,581,482
Solano 6.6%	484,079	316,785	481,849	323,261	1,605,975	965,929	640,046
Sonoma 7.7%	562,796	209,439	560,203	213,721	1,546,159	1,122,999	423,160
Participatory Budgeting Pilot	-	-	1,000,000	-	1,000,000	1,000,000	-
<b>Total 100.0%</b>	<b>7,293,727</b>	<b>3,368,200</b>	<b>8,260,121</b>	<b>3,437,064</b>	<b>22,359,112</b>	<b>15,553,848</b>	<b>6,805,264</b>

County & Share of Regional Low Income Population <sup>1</sup>	95% STA Programming Targets <sup>(5)</sup>		
	FY 2017 (100%)	FY 2018 (95%)	Total
	<i>Actual</i>	<i>Estimate</i>	<i>Estimate</i>
Alameda 23.1%	1,682,720	1,591,218	3,273,938
Contra Costa 14.7%	1,075,640	1,017,149	2,092,789
Marin 2.7%	193,466	182,946	376,412
Napa 2.1%	152,057	143,789	295,846
San Francisco 12.2%	890,405	841,987	1,732,392
San Mateo 8.4%	612,417	579,115	1,191,532
Santa Clara 22.5%	1,640,147	1,550,961	3,191,108
Solano 6.6%	484,079	457,757	941,836
Sonoma 7.7%	562,796	532,193	1,094,989
Participatory Budgeting Pilot	0	1,000,000	1,000,000
<b>Total 100.0%</b>	<b>7,293,727</b>	<b>7,897,115</b>	<b>15,190,842</b>

- (1) Note that the “Share of Regional Low Income Population” percentages reflect the most recent population data from the 2015 American Community Survey, as is proposed in the Lifeline Cycle 5 program guidelines.
- (2) State Transit Assistance FY 15-16 revenues were lower than anticipated (based on the LTP Cycle 4 STA program, the 5% contingency programming remains unfunded), resulting in a funding shortfall in Cycle 4. To keep the cycle 4 program whole, the shortfall amount (funding gap) is being filled from FY 16-17 STA revenues. The amount listed in FY 16-17 is the amount available after accounting for the shortfall.
- (3) State Transit Assistance revenue generation amounts are consistent with those in the most recent Fund Estimate (MTC Resolution No. 4268, 11/15/2017).
- (4) The FY2017 FTA Section 5307 amount based on programming in the Transit Capital Priorities Program (Res. 4272). The FY2018 Section 5307 amount is preliminary, based on proposed programming being presented in January 2018.
- (5) Only FY2018 is subject to the 5% Lifeline Transportation Program contingency policy since it is an estimate. The FY2017 STA funding represents actual revenues and will be distributed at 100%. The \$1 million set aside for the Participatory Budgeting Pilot projects is not subject to the 95% contingency rule.

**Proposed Alameda CTC Schedule for Cycle 5 Lifeline Program**

<b>Programming Activities</b>	<b>Date</b>
MTC approves Lifeline Cycle 5 Guidelines and Fund Estimate	January 24, 2018
MTC Lifeline Cycle 5 to Alameda CTC Committees and Commission <i>(Guidelines, fund estimate, schedule, scoring criteria and weighting)</i>	February 8, 12 & 22, 2018
<b>Alameda CTC to release Lifeline Cycle 5 call for projects</b>	<b>February 23, 2018</b>
<b>Applications due to Alameda CTC</b>	<b>March 23, 2018</b>
Summary of applications received to ACTAC	April 5, 2018
Project Evaluation/Scoring	April 5 – 30, 2018
<b>Cycle 5 program recommendation to ACTAC, PPC and Commission</b> <i>(To be incorporated into 2018 CIP Update item)</i>	<b>May 10, 14 &amp; 24, 2018</b>
<b>Project resolutions of local support due to Alameda CTC</b>	<b>May 31, 2018</b>
<b>Alameda CTC approved program of projects due to MTC</b>	<b>May 31, 2018</b>
MTC's approval of regional Cycle 5 Program	July 25, 2018

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### Cycle 5 Lifeline Program: Proposed Evaluation Criteria and Weighting

Lifeline Cycle 5 Evaluation Criteria and Weighting <sup>1</sup>	
MTC Standard Criteria:	Alameda CTC Weight
Project need/goals and objectives	30%
Community-identified priority	10%
Implementation plan and project management capacity	10%
Project budget/sustainability	10%
Cost-effectiveness and performance indicators	10%
Coordination and program outreach	5%
<b>Sub-total MTC Criteria</b>	<b>75%</b>
Alameda CTC Additional Criteria:	Alameda CTC Weight
Project Demand	10%
Project Readiness	10%
Matching funds above minimum required	5%
<b>Sub-total Alameda CTC Criteria</b>	<b>25%</b>
<b>Grand Total</b>	<b>100%</b>

**Notes:**

1. The proposed Cycle 5 criteria and weighting are unchanged from Cycle 4.

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# Memorandum

4.2

1111 Broadway, Suite 800, Oakland, CA 94607

PH: (510) 208-7400

www.AlamedaCTC.org

**DATE:** February 1, 2018

**TO:** Alameda County Transportation Commission Board Members

**FROM:** Vivek Bhat, Director of Programming and Project Controls  
Jacki Taylor, Senior Program Analyst

**SUBJECT:** Transportation Fund for Clean Air (TFCA) FY 2018-19 Policies and Expenditure Plan Application

## Recommendation

Approve Resolution 18-002 regarding the TFCA County Program Manager (CPM) FY 2018-19 Expenditure Plan Application, due to the Air District by March 5, 2018.

## Summary

As the TFCA County Program Manager (CPM) for Alameda County, the Alameda CTC is required to program the TFCA revenue received from the Bay Area Air Quality Management District (Air District) and annually review the Air District's TFCA CPM policies and revenue at a public meeting. It is recommended the Commission approve Resolution 18-002 (Attachment A), regarding the fiscal year (FY) 2018-19 TFCA CPM Expenditure Plan Application (Attachment B) and its submittal to the Air District. The FY 2018-19 TFCA Expenditure Plan Application identifies approximately \$2.28 million of funding available for projects and is due to the Air District by March 5, 2018, prior to a detailed program of projects.

## Background

TFCA funding is generated by a four dollar vehicle registration fee collected by the Air District. Projects eligible for TFCA funding are to result in the reduction of motor vehicle emissions and achieve "surplus" emission reductions beyond what is currently required through regulations, ordinances, contracts, or other legally binding obligations. Projects typically funded with TFCA include shuttles, bicycle lanes and lockers, transit signal priority, signal timing and travel demand management (TDM) programs. As the TFCA County Program Manager (CPM) for Alameda County, the Alameda CTC is responsible for programming 40 percent of the four dollar vehicle registration fee that is collected in Alameda County for this program. A total of 6.25% percent of new revenue is set aside for the Alameda CTC's administration of the program. Per the distribution formula for

Alameda County's TFCA funding, 70 percent of the available funds are to be allocated to the cities/county based on population, with a minimum of \$10,000 to each jurisdiction. The remaining 30 percent of funds are to be allocated to transit-related projects on a discretionary basis. A jurisdiction's projected future share may be borrowed against in order for a project to receive more funds in the current year, which can help facilitate the required annual programming of all available funds.

For reference, a draft FY 2018-19 TFCA fund estimate, which reflects the funding identified in the FY 2018-19 Expenditure Plan Application, is included as Attachment C. Projects proposed for TFCA funding are to be consistent with the Air District's FY 2018-19 TFCA CPM Fund Policies (Attachment D) and cost-effectiveness requirements. For FY 2018-19, no substantive changes were made to the CPM Fund Policies and the TFCA eligibility and cost-effectiveness thresholds remain unchanged from last year.

### **FY 2018-19 Revenue**

The FY 2018-19 TFCA Expenditure Plan Application establishes the amount of TFCA funds available for programming to projects and program administration and is based on the Air District's Department of Motor Vehicles (DMV) revenue estimates for the same period. Additionally, previously programmed TFCA funds remaining from closed (i.e., cancelled or completed) projects are returned to the Alameda CTC's fund estimate for reprogramming. These are detailed on the second page of the Expenditure Plan Application. Returned funds that were initially programmed from the 70 percent cities/county portion of the fund estimate are credited back to the project sponsor's share. As summarized below, the estimated total amount available for projects is the sum of the new allocation (projected revenue), returned funds to reprogram, and earned interest, less 6.25 percent of the new allocation, which is reserved for the Alameda CTC's administration of the TFCA program.

Estimated new allocation for FY 2018-19:	\$1,955,286
Earned interest for calendar year 2017:	\$45,333
<u>Funds to reprogram, as of 10/31/17:</u>	<u>\$400,426</u>
Total FY 2018-19 TFCA funding available:	\$2,401,045
Less 6.25% of new allocation for TFCA administration:	- \$112,205
<b>Total FY 2018-19 TFCA funding for projects:</b>	<b>\$2,278,840</b>

### **FY 2018-19 Program Development**

The Air District's TFCA CPM Policies requires the revenue received annually from the Air District to be fully programmed on an annual basis. Any unprogrammed balance remaining after the Air District's annual programming deadline may be redirected by the Air District to other projects in the region. The programming of TFCA funding has been incorporated into the Alameda CTC's biennial Comprehensive Investment Plan (CIP)

process. The 2018 CIP Fund Estimate included \$4 million from TFCA which represented 2 years of TFCA revenue. Through the 2018 CIP evaluation process only one year's worth of projects eligible for TFCA funding could be identified. Staff is currently working with the Alameda County Technical Advisory Committee (ACTAC) to identify candidate projects for the FY 2018-19 funding. The draft FY 2018-19 TFCA fund estimate has been distributed to ACTAC representatives along with a request to propose candidate projects and provide project information by the end of March 2018. Staff will evaluate the proposed projects for TFCA cost-effectiveness and include a recommended FY 2018-19 TFCA program in the 2018 CIP Update, scheduled for consideration by the Commission in May 2018.

The Air District requires an approved program of TFCA projects to be submitted no later than 6 months from the date the Air District Board approves the annual county expenditure plan applications. The Air District's approval of the FY 2018-19 expenditure plans is tentatively scheduled for May 2018 which means a complete FY 2018-19 program of projects is estimated to be due no later than November 2018.

### **Next Steps**

The Alameda CTC FY 2018-19 TFCA Expenditure Plan Application is to be signed by the Executive Director and is due to the Air District by March 5, 2018. Updated TFCA program guidelines, including the attached Air District FY 2018-19 TFCA Policies, will be incorporated into the Alameda CTC's 2018 CIP Update, along with the FY 2018-19 fund estimate and funding recommendations.

**Fiscal Impact:** This recommended action has no significant fiscal impact. TFCA funding is made available by the Air District and will be included in the Alameda CTC's FY 2018-19 budget.

### **Attachments**

- A. Alameda CTC Resolution 18-002
- B. Alameda CTC FY 2018-19 TFCA Expenditure Plan Application
- C. Alameda CTC Draft FY 2018-19 TFCA Fund Estimate
- D. Air District's FY 2018-19 TFCA County Program Manager Fund Policies

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**ALAMEDA COUNTY TRANSPORTATION COMMISSION****Commission Chair**

Supervisor Richard Valle, District 2

**Commission Vice Chair**Mayor Pauline Cutter,  
City of San Leandro**AC Transit**

Board President Elsa Ortiz

**Alameda County**Supervisor Scott Haggerty, District 1  
Supervisor Wilma Chan, District 3  
Supervisor Nate Miley, District 4  
Supervisor Keith Carson, District 5**BART**

Director Rebecca Saltzman

**City of Alameda**

Mayor Trish Spencer

**City of Albany**

Councilmember Peter Maass

**City of Berkeley**

Councilmember Kriss Worthington

**City of Dublin**

Mayor David Haubert

**City of Emeryville**

Mayor John Bauters

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Mayor Lily Mei

**City of Hayward**

Mayor Barbara Halliday

**City of Livermore**

Mayor John Marchand

**City of Newark**

Councilmember Luis Freitas

**City of Oakland**Councilmember At-Large  
Rebecca Kaplan  
Councilmember Dan Kalb**City of Piedmont**

Acting Mayor Jeff Wieler

**City of Pleasanton**

Mayor Jerry Thorne

**City of Union City**

Mayor Carol Dutra-Vernaci

**Executive Director**

Arthur L. Dao

**RESOLUTION 18-002**

**WHEREAS**, as of July 2010, the Alameda County Transportation Commission ("Alameda CTC") was designated as the overall Program Manager for the Transportation Fund for Clean Air ("TFCA") County Program Manager Fund for Alameda County;

**WHEREAS**, the TFCA Program requires the Program Manager to submit an Expenditure Plan Application for FY 2018-19 TFCA funding to the Bay Area Air Quality Management District ("Air District") by March 5, 2018.

**NOW, THEREFORE BE IT RESOLVED**, that the Alameda CTC Commission will program an estimated \$2,278,840 to projects, consistent with the attached FY 2018-19 TFCA County Program Manager Fund Expenditure Plan Application;

**BE IT FURTHER RESOLVED**, the Alameda CTC Commission will approve a program of projects within six months of the Air District's approval of the FY2018-19 Expenditure Plan Application; and

**BE IT FURTHER RESOLVED**, the Alameda CTC Commission authorizes the Executive Director to execute any necessary fund transfer agreements related to this funding with the Air District and project sponsors.

**DULY PASSED AND ADOPTED** by the Alameda CTC at the regular Commission meeting held on Thursday, February 22, 2018 in Oakland, California, by the following vote:

**AYES:****NOES:****ABSTAIN:****ABSENT:****SIGNED:****ATTEST:**\_\_\_\_\_  
Richard Valle  
Chair, Alameda CTC\_\_\_\_\_  
Vanessa Lee  
Clerk of the Commission

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## SUMMARY INFORMATION

County Program Manager Agency Name: Alameda County Transportation Commission

Address: 1111 Broadway, Suite 800, Oakland, CA 94607

### PART A: NEW TFCA FUNDS

- |   |         |                       |
|---|---------|-----------------------|
| 1. Estimated FYE 2019 DMV revenues (based on projected CY2017 revenues):            | Line 1: | <u>\$1,971,100</u>    |
| 2. Difference between prior-year estimate and actual revenue:                       | Line 2: | <u>-\$15,814</u>      |
| a. Actual FYE 2017 DMV revenues (based on CY2016):                                  |         | <u>\$1,962,803.08</u> |
| b. Estimated FYE 2017 DMV revenues:   |         | <u>\$1,978,617.00</u> |
| <i>('a' minus 'b' equals Line 2.)</i>   |         |                       |
| 3. Estimated New Allocation for projects and administration (Sum of Lines 1 and 2): | Line 3: | <u>\$1,955,286</u>    |

### PART B: INTEREST FOR PROGRAMMING AND TFCA FUNDS AVAILABLE FOR REPROGRAMMING

- |  |         |                     |
|--|---------|---------------------|
| 4. Total available for programming/reprogramming to other projects.  | Line 4: | <u>\$445,759</u>    |
| a. Amount available from previously funded projects:   |         | <u>\$400,426.06</u> |
| <i>(Note: Reprogrammed funds originating from pre-2006 projects are not subject to the six-month allocation deadline.)</i> |         |                     |
| b. Interest income earned on TFCA funds in CY 2017:  |         | <u>\$45,333.26</u>  |
| <i>('a' plus 'b' equals Line 4.)</i>   |         |                     |

### PART C: TOTAL AVAILABLE TFCA FUNDS

- |   |         |                       |
|---|---------|-----------------------|
| 5. Total Available TFCA Funds (Sum of Lines 3 and 4)              | Line 5: | <u>\$2,401,045</u>    |
| a. Estimated TFCA funds budgeted for administration: <sup>1</sup> |         | <u>\$122,205.38</u>   |
| <i>(Note: This amount may not exceed 6.25% of Line 3.)</i>        |         |                       |
| b. Estimated Total TFCA funds available for projects              |         | <u>\$2,278,839.95</u> |
| <i>(Line 5 minus Line 5.a.)</i>                                   |         |                       |

I certify that, to the best of my knowledge, the information contained in this application is complete and accurate.

Executive Director Signature: \_\_\_\_\_

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

<sup>1</sup> The "Estimated TFCA funds budgeted for administration" amount is listed for informational purposes only. Per California Health and Safety Code Section 44233, County Program Managers must limit their administrative costs to no more than 6.25% of the actual total revenue received from the Air District.

## SUMMARY INFORMATION - ADDENDUM

**Complete if there are TFCA Funds available for reprogramming.**

[illegible]

## TOTAL TFCA FUNDS AVAILABLE FOR REPROGRAMMING

\$400,426.06

(Enter this amount in Part B, Line 4.a. of Summary Information form)

\* Enter UB (for projects that were completed under budget) and CP (for cancelled project).

**Notes:**

- 17ALA02 and 17ALA08: New/replacement TFCA grants were issued for these projects in FY 2017-18.
- 17ALA03: May be re-evaluated for TFCA in a future cycle once full funding has been secured.
- 17ALA06: Funding associated with cancelled service hours.
- A FY 2017-18 balance (un-programmed) resulted from a correction made to the approved FY 2017-18 program which lowered the total program amount. BAAQMD staff agreed that the balance was to be added to the FY 18/19 expenditure plan.

## Alameda CTC TFCA County Program Manager Fund: FY 2018-19 Draft Fund Estimate

Agency	Population (Estimate <sup>1</sup> )	% Population	Total % of Funding	TFCA Funds Available (new this FY)	Balance from Previous FY	Programmed Last Cycle	Returned Funds from Closed Projects	Rollover (Debits/ Credits)	TFCA Balance (New + Rollover)
Alameda	79,928	4.86%	4.85%	\$ 63,950	\$ (126,259)	\$ -	\$ 5,046	\$ (121,213)	\$ (57,263)
Alameda County	150,892	9.17%	9.16%	\$ 120,727	\$ 467,626	\$ -	\$ 9,666	\$ 477,291	\$ 598,019
Albany	18,988	1.15%	1.15%	\$ 15,192	\$ (174,637)	\$ -	\$ 124,222	\$ (50,414)	\$ (35,222)
Berkeley	121,238	7.37%	7.36%	\$ 97,001	\$ 91,063	\$ 180,000	\$ 7,821	\$ (81,116)	\$ 15,886
Dublin	59,686	3.63%	3.62%	\$ 47,754	\$ 129,221	\$ -	\$ 3,677	\$ 132,898	\$ 180,652
Emeryville	11,854	0.72%	0.76%	\$ 10,000	\$ 76,316	\$ 180,000	\$ 696	\$ (102,988)	\$ (92,988)
Fremont	231,664	14.08%	14.06%	\$ 185,352	\$ 295,261	\$ 646,000	\$ 14,918	\$ (335,821)	\$ (150,469)
Hayward	161,040	9.79%	9.78%	\$ 128,847	\$ (134,689)	\$ -	\$ 10,068	\$ (124,622)	\$ 4,225
Livermore	89,648	5.45%	5.44%	\$ 71,727	\$ 650,681	\$ 193,000	\$ 5,662	\$ 463,343	\$ 535,069
Newark	45,422	2.76%	2.76%	\$ 36,342	\$ 405,367	\$ -	\$ 2,911	\$ 408,278	\$ 444,620
Oakland	426,074	25.90%	25.87%	\$ 340,898	\$ (51,824)	\$ 100,000	\$ 47,391	\$ (104,434)	\$ 236,464
Piedmont	11,283	0.69%	0.76%	\$ 10,000	\$ 93,509	\$ -	\$ 732	\$ 94,241	\$ 104,241
Pleasanton	75,916	4.61%	4.61%	\$ 60,740	\$ (92,454)	\$ 65,000	\$ 4,929	\$ (152,526)	\$ (91,786)
San Leandro	88,274	5.37%	5.36%	\$ 70,627	\$ 239,452	\$ 130,000	\$ 109,824	\$ 219,276	\$ 289,903
Union City	73,452	4.46%	4.46%	\$ 58,768	\$ 409,130	\$ 136,000	\$ 4,790	\$ 277,920	\$ 336,689
<b>TOTAL 70% Cities/County:</b>	<b>1,645,359</b>	<b>100%</b>	<b>100%</b>	<b>\$ 1,317,925</b>	<b>\$ 2,277,761</b>	<b>\$ 1,630,000</b>	<b>\$ 352,353</b>	<b>\$ 1,000,115</b>	<b>\$ 2,318,040</b>

FY 2018-19 TFCA New Revenue \$ 1,955,286 (from FY 2018-19 Expenditure Plan)

Less 6.25% for Program Administration \$ (122,205)

Subtotal New Programming Capacity \$ 1,833,081

FY 2015/16 Program Administration Balance \$ 4,337

Calendar Year 2017 Interest Earned \$ 45,333

Total New Programming Capacity \$ 1,882,750

	Totals	Cities/County (Shares) 70%	Transit (Discretionary) 30%
Total New Programming Capacity	\$ 1,882,750	\$ 1,317,925	\$ 564,825
Returned Funds from Closed Projects Adjustment	\$ 352,353	\$ 352,353	\$ -
FY 2017-18 Rollover (debit/credit) Adjustment	\$ 43,736	\$ 647,762	\$ (604,025)
Total Adjustments <sup>2</sup>	\$ 396,090	\$ 1,000,115	\$ (604,025)
<b>Adjusted Total Available to Program</b>	<b>\$ 2,278,840</b>	<b>\$ 2,318,040</b>	<b>\$ (39,200)</b>

## Notes:

1. Dept. of Finance (www.dof.ca.gov) population estimates as of 1/01/2017 (released May 2017).
2. Includes TFCA programming actions and returned funds from closed projects as of 10/31/17.

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## Appendix D: Board-Adopted TFCA County Program Manager Fund Policies for FYE 2019

**Adopted November 1, 2017**

The following Policies apply to the Bay Area Air Quality Management District's (Air District) Transportation Fund for Clean Air (TFCA) County Program Manager Fund for fiscal year ending (FYE) 2019.

### BASIC ELIGIBILITY

1. **Reduction of Emissions:** Only projects that result in the reduction of motor vehicle emissions within the Air District's jurisdiction are eligible.

Projects must conform to the provisions of the California Health and Safety Code (HSC) sections 44220 et seq. and these Air District Board of Directors adopted TFCA County Program Manager Fund Policies for FYE 2019.

Projects must achieve surplus emission reductions, i.e., reductions that are beyond what is required through regulations, ordinances, contracts, and other legally binding obligations at the time of the execution of a grant agreement between the County Program Manager and the grantee. Projects must also achieve surplus emission reductions at the time of an amendment to a grant agreement if the amendment modifies the project scope or extends the project completion deadline.

2. **TFCA Cost-Effectiveness:** Projects must not exceed the maximum cost-effectiveness (C-E) limit noted in Table 1. Cost-effectiveness (\$/weighted ton) is based on the ratio of TFCA funds awarded divided by the sum of surplus emissions reduced of reactive organic gases (ROG), nitrogen oxides (NOx), and weighted PM10 (particulate matter 10 microns in diameter and smaller) over a project's useful life. All TFCA-generated funds (e.g., reprogrammed TFCA funds) that are awarded or applied to a project must be included in the evaluation. For projects that involve more than one independent component (e.g., more than one vehicle purchased, more than one shuttle route), each component must achieve this cost-effectiveness requirement.

County Program Manager administrative costs are excluded from the calculation of a project's TFCA cost-effectiveness.

**Table 1: Maximum Cost-Effectiveness for FYE 2019**

Policy No.	Project Category	Maximum C-E (\$/weighted ton)
22	Alternative Fuel Light-Duty Vehicles	250,000
23	Reserved	Reserved
24	Alternative Fuel Heavy-Duty Vehicles and Buses	250,000
25	On-Road Goods Movement Truck Replacements	90,000
26	Alternative Fuel Infrastructure	250,000
27	Ridesharing Projects	150,000
28.a.-h.	Shuttle/Feeder Bus Service – Existing	200,000; 250,000 for services in CARE Areas or PDAs
29	Shuttle/Feeder Bus Service - Pilot	Year 1 - 250,000 Year 2 - see Policy #28.a.-h.
29	Shuttle/Feeder Bus Service – Pilot in CARE Areas or PDAs	Years 1 & 2 - 500,000 Year 3 - see Policy #28.a.-h.

30	Bicycle Projects	250,000
31	Bike Share	500,000
32	Arterial Management	175,000
33	Smart Growth/Traffic Calming	175,000

3. **Eligible Projects and Case-by-Case Approval:** Eligible projects are those that conform to the provisions of the HSC section 44241, Air District Board-adopted policies, and Air District guidance. On a case-by-case basis, County Program Managers must receive approval by the Air District for projects that are authorized by the HSC section 44241 and achieve Board-adopted TFCA cost-effectiveness but do not fully meet other Board-adopted Policies.
4. **Consistent with Existing Plans and Programs:** All projects must comply with the Transportation Control and Mobile Source Control measures included in the Air District's most recently approved strategies for achieving and maintaining State and national ozone standards, those plans and programs established pursuant to HSC sections 40233, 40717, and 40919; and, when specified, other adopted federal, State, regional, and local plans and programs.
5. **Eligible Recipients:** Grant recipients must be responsible for the implementation of the project, have the authority and capability to complete the project, and be an applicant in good standing with the Air District (Policies #8-10).
  - a. **Public agencies** are eligible to apply for all project categories.
  - b. **Non-public entities** are only eligible to apply for new alternative-fuel (light, medium, and heavy-duty) vehicle and infrastructure projects, and advanced technology demonstrations that are permitted pursuant to HSC section 44241(b)(7).
6. **Readiness:** Projects must commence by the end of calendar year 2019. For purposes of this policy, "commence" means a tangible action taken in connection with the project's operation or implementation, for which the grantee can provide documentation of the commencement date and action performed. "Commence" can mean the issuance of a purchase order to secure project vehicles and equipment, commencement of shuttle/feeder bus and ridesharing service, or the delivery of the award letter for a construction contract.
7. **Maximum Two Years Operating Costs:** Unless otherwise specified in policies #22 through #32, TFCA County Program Manager Funds may be used to support up to two years of operating costs for service-based projects (e.g., ridesharing, shuttle and feeder bus service). Grant applicants that seek TFCA funds for additional years must reapply for funding in the subsequent funding cycles.

#### **APPLICANT IN GOOD STANDING**

8. **Independent Air District Audit Findings and Determinations:** Grantees who have failed either the fiscal audit or the performance audit for a prior TFCA-funded project awarded by either County Program Managers or the Air District are excluded from receiving an award of any TFCA funds for three (3) years from the date of the Air District's final audit determination in accordance with HSC section 44242 or for a duration determined by the Air District Air Pollution Control Officer (APCO). Existing TFCA funds already awarded to the project sponsor will not be released until all audit recommendations and remedies have been satisfactorily implemented. A failed fiscal audit means a final audit report that includes an uncorrected audit finding that confirms an ineligible expenditure of TFCA funds. A failed performance audit means that the program or project was not implemented in accordance with the applicable Funding Agreement or grant agreement.

A failed fiscal or performance audit of the County Program Manager or its grantee may subject the County Program Manager to a reduction of future revenue in an amount equal to the amount which was inappropriately expended pursuant to the provisions of HSC section 44242(c)(3).

9. **Authorization for County Program Manager to Proceed:** Only a fully executed Funding Agreement (i.e., signed by both the Air District and the County Program Manager) constitutes the Air District's award of County Program Manager Funds. County Program Managers may incur costs (i.e., contractually obligate itself to allocate County Program Manager Funds) only after the Funding Agreement with the Air District has been executed.
10. **Maintain Appropriate Insurance:** Both the County Program Manager and each grantee must obtain and maintain general liability insurance, workers compensation insurance, and additional insurance as appropriate for specific projects, with required coverage amounts provided in Air District guidance and final amounts specified in the respective grant agreements.

#### INELIGIBLE PROJECTS

11. **Duplication:** Duplicative projects are not eligible. Projects that propose to expand and achieve additional emission reductions of existing projects are eligible (e.g., shuttle service or route expansion, previously-funded project that has completed its Project Useful Life).
12. **Planning Activities:** A grantee may not use any TFCA funds for planning related activities unless they are directly related to the implementation of a project or program that result in emission reductions.
13. **Employee Subsidies:** Projects that provide a direct or indirect financial transit or rideshare subsidy or shuttle/feeder bus service exclusively to the grantee's employees are not eligible.
14. **Cost of Developing Proposals:** Grantees may not use any TFCA funds to cover the costs of developing grant applications.

#### USE OF TFCA FUNDS

15. **Combined Funds:** Unless otherwise specified in policies #22 through #32, TFCA County Program Manager Funds may not be combined with TFCA Regional Funds to fund a County Program Manager Fund project. Projects that are funded by the TFCA County Program Manager Fund are not eligible for additional funding from other funding sources that claim emissions reduction credits. For example, County Program Manager-funded projects may be combined with Congestion Mitigation and Air Quality (CMAQ) funds because CMAQ does not require emissions reductions for funding eligibility.
16. **Administrative Costs:** The County Program Manager may not expend more than 6.25 percent of its County Program Manager Funds for its administrative costs. The County Program Manager's costs to prepare and execute its Funding Agreement with the Air District are eligible administrative costs. Interest earned on County Program Manager Funds shall not be included in the calculation of the administrative costs. To be eligible for reimbursement, administrative costs must be clearly identified in the expenditure plan application and in the Funding Agreement, and must be reported to the Air District.
17. **Expend Funds within Two Years:** County Program Manager Funds must be expended within two (2) years of receipt of the first transfer of funds from the Air District to the County Program Manager in the applicable fiscal year, unless a County Program Manager has made the determination based on an application for funding that the eligible project will take longer than two years to implement. Additionally, a County Program Manager may, if it finds that significant progress has been made on a project, approve no more than two one-year schedule extensions for a project. Any subsequent schedule extensions for projects can only be given on a case-by-case basis, if the Air District finds that significant progress has been made on a project, and the Funding Agreement is amended to reflect the revised schedule.
18. **Unallocated Funds:** Pursuant to HSC 44241(f), any County Program Manager Funds that are not allocated to a project within six months of the Air District Board of Directors approval of the County Program Manager's Expenditure Plan may be allocated to eligible projects by the Air District. The Air

District shall make reasonable effort to award these funds to eligible projects in the Air District within the same county from which the funds originated.

19. Reserved.

20. Reserved.

21. Reserved.

#### **ELIGIBLE PROJECT CATEGORIES**

#### **22. Alternative Fuel Light-Duty Vehicles:**

These projects are intended to accelerate the deployment of qualifying alternative fuel vehicles that operate within the Air District's jurisdiction. All of the following conditions must be met for a project to be eligible for TFCA funds:

- a. Vehicles purchased and/or leased have a gross vehicle weight rating (GVWR) of 14,000 lbs. or lighter.
- b. Vehicles are 2018 model year or newer
  - i. hybrid-electric, electric, fuel cell, and CNG/LNG vehicles that are certified by the California Air Resources Board (CARB) as meeting established super ultra-low emission vehicle (SULEV), partial zero emission vehicle (PZEV), advanced technology-partial zero emission vehicle (AT-PZEV), or zero emission vehicle (ZEV) standards; or
  - ii. electric neighborhood vehicles (NEV) as defined in the California Vehicle Code.
- c. Vehicles must be maintained and operated within the Air District's jurisdiction.
- d. The amount of TFCA funds awarded may not exceed 90% of the vehicle's cost after all other grants and applicable manufacturer and local/state/federal rebates and discounts are applied.

Gasoline and diesel (non-hybrid) vehicles are not eligible for TFCA funds. Funds are not available for non-fuel system upgrades, such as transmission and exhaust systems, and should not be included in the cost of the project.

Grantees may request authorization of up to 50% of the TFCA Funds awarded for each vehicle to be used to pay for costs directly related to the purchase and installation of alternative fueling infrastructure and/or equipment used to power the new vehicle.

23. **Reserved.**

#### **24. Alternative Fuel Heavy-Duty Vehicles and Buses:**

These projects are intended to accelerate the deployment of qualifying alternative fuel vehicles that operate within the Air District's jurisdiction. All of the following conditions must be met for a project to be eligible for TFCA Funds:

- a. Vehicles purchased and/or leased either have a GVWR greater than 14,000 lbs or are classified as urban buses.
- b. Vehicles are 2018 model year or newer hybrid-electric, electric, CNG/LNG, and hydrogen fuel cell vehicles approved by the CARB.
- c. Vehicles must be maintained and operated within the Air District's jurisdiction.



- d. The amount of TFCA funds awarded may not exceed 90% of the vehicle's cost after all other grants and applicable manufacturer and local/state/federal rebates and discounts are applied.
- e. **Scrapping Requirements:** Grantees with a fleet that includes model year 1998 or older heavy-duty diesel vehicles must scrap one model year 1998 or older heavy-duty diesel vehicle for each new vehicle purchased or leased under this grant. Costs related to the scrapping of heavy-duty vehicles are not eligible for reimbursement with TFCA funds.

TFCA funds may not be used to pay for non-fuel system upgrades such as transmission and exhaust systems.

Grantees may request authorization of up to 50% of the TFCA Funds awarded for each vehicle to be used to pay for costs directly related to the purchase and installation of alternative fueling infrastructure and/or equipment used to power the new vehicle.

Projects that seek to replace a vehicle in the same weight-class as the proposed new vehicle, may qualify for additional TFCA funding. Costs related to the scrapping and/or dismantling of the existing vehicle are not eligible for reimbursement with TFCA funds.

25. **On-Road Goods Movement Truck Replacements:** The project will replace Class 6, Class 7, or Class 8 diesel-powered trucks that have a gross vehicle weight rating (GVWR) of 19,501 lbs. or greater (per vehicle weight classification definition used by Federal Highway Administration (FHWA) with new or used trucks that have an engine certified to the 2010 CARB emissions standards or cleaner. Eligible vehicles are those that are used for goods movement as defined by CARB. The existing trucks must be registered with the California Department of Motor Vehicles (DMV) to an address within the Air District's jurisdiction, and must be scrapped after replacement.

26. **Alternative Fuel Infrastructure:**

**Eligibility:** Eligible refueling infrastructure projects include new dispensing and charging facilities, or additional equipment or upgrades and improvements that expand access to existing alternative fuel fueling/charging sites (e.g., electric vehicle, CNG, hydrogen). This includes upgrading or modifying private fueling/charging sites or stations to allow public and/or shared fleet access. TFCA funds may be used to cover the cost of equipment and installation. TFCA funds may also be used to upgrade infrastructure projects previously funded with TFCA funds as long as the equipment was maintained and has exceeded the duration of its useful life after being placed into service.

TFCA-funded infrastructure projects must be available to and accessible by the public. Equipment and infrastructure must be designed, installed, and maintained as required by the existing recognized codes and standards and as approved by the local/state authority.

TFCA funds may not be used to pay for fuel, electricity, operation, and maintenance costs.

27. **Ridesharing Projects:** Eligible ridesharing projects provide carpool, vanpool or other rideshare services. Projects that provide a direct or indirect financial transit or rideshare subsidy are also eligible under this category.

28. **Shuttle/Feeder Bus Service:**

These projects are intended to reduce single-occupancy vehicle trips by providing short-distance connections. All of the following conditions must be met for a project to be eligible for TFCA funds:

- a. The service must provide direct connections between a mass transit hub (e.g., a rail or Bus Rapid Transit (BRT) station, ferry or bus terminal or airport) and a distinct commercial or employment location.
- b. The service's schedule must be coordinated to have a timely connection with corresponding mass transit service.
- c. The service must be available for use by all members of the public.
- d. TFCA funds may be used to fund only shuttle services to locations that are under-served and lack other comparable service. For the purposes of this policy, "comparable service" means that there exists, either currently or within the last three years, a direct, timed, and publicly accessible service that brings passengers to within one-third (1/3) mile of the proposed commercial or employment location from a mass transit hub. A proposed service will not be deemed "comparable" to an existing service if the passengers' proposed travel time will be at least 15 minutes shorter and at least 33% shorter than the existing service's travel time to the proposed destination.
- e. Reserved.
- f. Grantees must be either: 1) a public transit agency or transit district that directly operates the shuttle/feeder bus service; or (2) a city, county, or any other public agency.
- g. Applicants must submit a letter of concurrence from the transit district or transit agency that provides service in the area of the proposed route, certifying that the service does not conflict with existing service.
- h. Each route must meet the cost-effectiveness requirement in Policy #2. Projects that would operate in Highly Impacted Communities or Episodic Areas as defined in the Air District Community Air Risk Evaluation (CARE) Program, or in Priority Development Areas (PDAs), may qualify for funding at a higher cost-effectiveness limit (see Policy #2).

**29. Pilot Shuttle/Feeder Bus Service Projects:**

These projects are new shuttle/feeder bus service routes that are at least 70% unique and where no other service was provided within the past three years. In addition to meeting the conditions listed in Policy #28.a.-h. for shuttle/feeder bus service, project applicants must also comply with the following application criteria and agree to comply with the project implementation requirements:

- a. Provide data and other evidence demonstrating the public's need for the service, including a demand assessment survey and letters of support from potential users. Project applicants must agree to conduct a passenger survey for each year of operation.
- b. Provide written documentation of plans for financing the service in the future;
- c. Provide a letter from the local transit agency denying service to the project's proposed service area, which includes the basis for denial of service to the proposed areas. The applicant must demonstrate that the project applicant has attempted to coordinate service with the local service provider and has provided the results of the demand assessment survey to the local transit agency. The applicant must provide the transit service provider's evaluation of the need for the shuttle service to the proposed area.
- d. Pilot projects located in Highly Impacted Communities as defined in the Air District CARE Program and/or a Planned or Potential PDA may receive a maximum of three years of TFCA Funds under the Pilot designation. For these projects, the project applicants understand and must agree that such projects will be evaluated every year, and continued funding will be contingent upon the projects meeting the following requirements:

- i. During the first year and by the end of the second year of operation, projects must not exceed a cost-effectiveness of \$500,000/ton, and
  - ii. By the end of the third year of operation, projects must meet all of the requirements, including cost-effectiveness limit, of Policy #28.a.-h. (existing shuttles).
- e. Projects located outside of CARE areas and PDAs may receive a maximum of two years of TFCA Funds under this designation. For these projects, the project applicants understand and must agree that such projects will be evaluated every year, and continued funding will be contingent upon the projects meeting the following requirements:
  - i. By the end of the first year of operation, projects shall meet a cost-effectiveness of \$250,000/ton, and
  - ii. By the end of the second year of operation, projects shall meet all of the requirements, including cost-effectiveness limit, of Policy #28.a.-h. (existing shuttles).

### 30. **Bicycle Projects:**

New bicycle facility projects or upgrades to an existing bicycle facility that are included in an adopted countywide bicycle plan, Congestion Management Program (CMP), countywide transportation plan (CTP), city plan, or the Metropolitan Transportation Commission's (MTC) Regional Bicycle Plan are eligible to receive TFCA funds. Projects that are included in an adopted city general plan or area-specific plan must specify that the purpose of the bicycle facility is to reduce motor vehicle emissions or traffic congestion. A project that proposes to upgrade an existing bicycle facility is eligible only if that project involves converting an existing Class-2 or Class-3 facility to a Class-1 or Class-4 facility.

Eligible projects are limited to the following types of bicycle facilities for public use that result in motor vehicle emission reductions:

- a. New Class-1 bicycle paths;
- b. New Class-2 bicycle lanes;
- c. New Class-3 bicycle routes;
- d. New Class-4 cycle tracks or separated bikeways;
- e. Upgraded Class-1 or Class-4 bicycle facilities;
- f. Bicycle racks, including bicycle racks on transit buses, trains, shuttle vehicles, and ferry vessels;
- g. Electronic bicycle lockers;
- h. Capital costs for attended bicycle storage facilities; and
- i. Purchase of two-wheeled or three-wheeled vehicles (self-propelled or electric), plus mounted equipment required for the intended service and helmets.
- j. Reserved.

All bicycle facility projects must, where applicable, be consistent with design standards published in the California Highway Design Manual, or conform to the provisions of the Protected Bikeway Act of 2014.

### 31. **Bike Share:**

Projects that make bicycles available to individuals for shared use for completing first- and last-mile trips in conjunction with regional transit and stand-alone short distance trips are eligible for TFCA funds, subject to all of the following conditions:

- a. Projects must either increase the fleet size of existing service areas or expand existing service areas to include new Bay Area communities.
- b. Projects must have a completed and approved environmental plan and a suitability study demonstrating the viability of bicycle sharing.
- c. Projects must have shared membership and/or be interoperable with the Bay Area Bike Share (BABS) project when they are placed into service, in order to streamline transit for end users by reducing the number of separate operators that would comprise bike trips. Projects that meet one or more of the following conditions are exempt from this requirement:
  - i. Projects that do not require membership or any fees for use, or
  - ii. Projects that were provided funding under MTC's Bike Share Capital Program to start a new or expand an existing bike share program; or.
  - iii. Projects that attempted to coordinate with, but were refused by, the current BABS operator to have shared membership or be interoperable with BABS. Applicants must provide documentation showing proof of refusal.

Projects may be awarded FYE 2019 TFCA funds to pay for up to five years of operations.

**32. Arterial Management:**

Arterial management grant applications must identify a specific arterial segment and define what improvement(s) will be made to affect traffic flow on the identified arterial segment. Projects that provide routine maintenance (e.g., responding to citizen complaints about malfunctioning signal equipment) are not eligible to receive TFCA funds. Incident management projects on arterials are eligible to receive TFCA funds. Transit improvement projects include, but are not limited to, bus rapid transit and transit priority projects. Signal timing projects are eligible to receive TFCA funds. Each arterial segment must meet the cost-effectiveness requirement in Policy #2.

**33. Smart Growth/Traffic Calming:**

Physical improvements that support development projects and/or calm traffic, resulting in motor vehicle emission reductions, are eligible for TFCA funds, subject to the following conditions:

- a. The development project and the physical improvements must be identified in an approved area-specific plan, redevelopment plan, general plan, bicycle plan, pedestrian plan, traffic-calming plan, or other similar plan.
- b. The project must implement one or more transportation control measures (TCMs) in the most recently adopted Air District plan for State and national ambient air quality standards. Pedestrian projects are eligible to receive TFCA funds.
- c. The project must have a completed and approved environmental plan. If a project is exempt from preparing an environmental plan as determined by the public agency or lead agency, then that project has met this requirement.

Traffic calming projects are limited to physical improvements that reduce vehicular speed by designing and improving safety conditions for pedestrians, bicyclists or transit riders in residential retail, and employment areas.

## *Appendix E: Glossary of Terms*

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The following is a glossary of terms found in the TFCA County Program Policies:

**Environmental plan** - A completed and approved plan to mitigate environmental impacts as required by the result of the review process of all applicable local, state, and federal environmental reviews (e.g., CEQA, NEPA). For the purpose of the County Program Manager Fund, projects requiring a completed and approved environmental plan must complete all required environmental review processes. Any project that is exempt from preparing an environmental plan, as determined by an environmental review process, has met the requirement of having a completed and approved environmental plan.

**Final audit determination** - The determination by the Air District of a County Program Manager or grantee's TFCA program or project, following completion of all procedural steps set forth in HSC section 44242(a) – (c).

**Funding Agreement** - The agreement executed by and between the Air District and the County Program Manager for the allocation of TFCA County Program Manager Funds for the respective fiscal year.

**Grant Agreement** - The agreement executed by and between the County Program Manager and a grantee.

**Grantee** - Recipient of an award of TFCA Funds from the County Program Manager to carry out a TFCA project and who executes a grant agreement with the County Program Manager to implement that project. A grantee is also known as a project sponsor.

**Project Useful Life** (see *Years Effectiveness*)

**TFCA funds** - Grantee's allocation of funds, or grant, pursuant to an executed grant agreement awarded pursuant to the County Program Manager Fund Funding Agreement.

**TFCA-generated funds** - The Transportation Fund for Clean Air (TFCA) program funds generated by the \$4 surcharge on motor vehicle registration fees that are allocated through the Regional Fund and the County Program Manager Fund.

**Weighted PM10** - Weighted particulate matter less than 10 microns in diameter (PM10) is calculated by multiplying the tailpipe PM emissions by a factor of 20, which is consistent with CARB methodology for estimating PM10 emissions for the Carl Moyer Program.

**Years Effectiveness** - Equivalent to the administrative period of the grant and used in calculating a project's Cost Effectiveness. This is different than how long the project will physically last.

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# Memorandum

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1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• [www.AlamedaCTC.org](http://www.AlamedaCTC.org)

<b>DATE:</b>	February 1, 2018
<b>SUBJECT:</b>	2019 Transportation Improvement Program (TIP) Development: Metropolitan Transportation Commission (MTC) Request for Non-Exempt Projects
<b>RECOMMENDATION:</b>	Receive an update on MTC's call for "non-exempt" projects for the 2019 Transportation Improvement Program (TIP)

## Summary

MTC is required to prepare and adopt an updated federal Transportation Improvement Program (TIP) every two years. The attached MTC memorandum is a primer on the first step in the 2019 TIP development process, which is a call for "non-exempt" projects. Non-exempt projects are generally capacity increasing projects that are not exempt from regional air quality conformity (AQC) analysis. ACTAC representatives are requested to coordinate the actions related to the development of the 2019 TIP for their respective agencies. Responses regarding new and updated non-exempt projects for the 2019 TIP are due to MTC no later than March 1, 2018.

## Background

The TIP is a federally-required, comprehensive listing of all Bay Area surface transportation projects that are to receive federal funding, are subject to a federally required action, or are considered regionally significant for AQC purposes. MTC is required by the State to prepare and adopt an updated TIP every two years. The 2019 TIP will cover the four-year period from FY 2016-17 through FY 2019-20 and will include projects and programs consistent with the most recently adopted Regional Transportation Plan (RTP), Plan Bay Area.

In developing the RTP and the TIP, MTC conducts a regional AQC analysis that estimates the emission of specific air quality pollutants from transportation sources and compares those estimates to regional emission budgets. As part of the AQC analysis, MTC models non-exempt projects, which are those not specifically exempted from regional air quality conformity analysis by federal regulations, 40 CFR 93.126 and 40 CFR 93.127. The most common type of non-exempt projects are those that either expand or reduce the capacity of the transit, freight, highway or local road systems.

MTC has begun developing the region's 2019 TIP to align with the State's schedule for receiving federal approval by December 2016. Attachment A, MTC's call for information for non-exempt projects for the 2019 TIP, is the first step in the process and provides detailed instructions for how to complete each of the following requested actions:

1. Add new non-exempt projects or non-exempt capital phases (right-of-way phase and construction phases) to the 2019 TIP;
2. Revise the scope, schedule and costs of non-exempt projects and non-exempt capital phases in the 2017 TIP for the 2019 TIP; and
3. Archive existing non-exempt projects and non-exempt capital phases in the current 2017 TIP if the project will not need to be included in the 2019 TIP (i.e., completed or cancelled projects).

In addition, Attachment A identifies the criteria that must be met in order for non-exempt projects or project phases to be added to or revised for the 2019 TIP. It also includes a list of non-exempt projects in the current 2017 TIP, identifies the project information that is required at this time, and provides a draft overall 2019 TIP development schedule.

As with prior TIP updates, ACTAC representatives are requested to coordinate the 2019 TIP development for their respective agencies. Agencies are requested to copy Jacki Taylor, [jtaylor@alamedactc.org](mailto:jtaylor@alamedactc.org), when transmitting responses to MTC.

**Fiscal Impact:** There is no fiscal impact.

#### **Attachment**

- A. MTC memorandum "2019 TIP Development - Review of Non-Exempt Projects and Call for New Non-Exempt Projects to be Added to the 2019 TIP" and attachments

#### **Staff Contact**

[Jacki Taylor](#), Senior Program Analyst





METROPOLITAN  
TRANSPORTATION  
COMMISSION

4.3A  
Bay Area Metro Center  
375 Beale Street  
San Francisco, CA 94105  
TEL 415.778.6700  
WEB [www.mtc.ca.gov](http://www.mtc.ca.gov)

## Memorandum

TO: Transit Finance Working Group, Joint Local Streets and  
Roads/ Programming and Delivery Working Group

DATE: January 18, 2018

FR: Adam Crenshaw

RE: 2019 TIP Development - Review of Non-Exempt Projects and Call for New Non-Exempt Projects to be  
Added to the 2019 TIP

**Due to MTC Thursday, March 1, 2018 – Do not enter these changes in FMS at this time**

### **Background**

The federally required Transportation Improvement Program or TIP is a comprehensive listing of all Bay Area surface transportation projects that are to receive federal funding, are subject to a federally required action, or are considered regionally significant for air quality conformity purposes over a four-year period. The current 2017 TIP covers federal FY 2016-17 through FY 2019-20. In alignment with the Federal Statewide TIP development efforts, MTC is in the process of developing the 2019 TIP. The 2019 TIP will cover the four-year period from FY 2018-19 through FY 2021-22. Like the 2017 TIP, the 2019 TIP must be consistent with the existing Regional Transportation Plan, *Plan Bay Area 2040*.

In developing the TIP, MTC conducts a regional air quality conformity analysis that estimates the emission of specific air quality pollutants from transportation sources and compares those estimates to regional emission budgets. As part of this air quality conformity analysis MTC models applicable projects that are not specifically exempted from regional air quality conformity analysis by 40 CFR 93.126 and 40 CFR 93.127 (non-exempt projects). The most common type of non-exempt projects are those that either expand or reduce the capacity of the transit, highway or local road systems.

### **Call for New and Revised Non-Exempt Projects and Non-Exempt Capital Phases**

The 2019 TIP development period is an opportunity for project sponsors to add new regional air quality non-exempt projects to the 2019 TIP. Sponsors may also change the scope, schedule and costs of existing non-exempt projects as part of this process. These projects can be added or revised as long as the projects and changes meet the following criteria:

1. The total cost of the project in the TIP document (including those costs that are programmed outside the TIP period) must not exceed the cost of the project as indicated in *Plan Bay Area 2040*. Please note that some projects shown as a single project in *Plan Bay Area 2040* are included in the TIP as multiple projects. The total combined cost of these multiple TIP projects cannot exceed the cost of the single *Plan Bay Area 2040* project; and
2. The scope of the project in the TIP must be consistent with the scope of the projects as described in *Plan Bay Area 2040*.

Partner agencies, including Caltrans, CMAs, transit operators and project sponsors are requested to compare the projects in *Plan Bay Area 2040* and the non-exempt projects already listed in the 2017 TIP. A list of these projects are included in Attachments A and B, respectively, and they can also be viewed in the *Plan Bay Area 2040* database (<http://projects.planbayarea.org/explore>) and FMS (<fms.mtc.ca.gov>).

Please then inform MTC staff of the following:

**1. New Non-Exempt Projects**

For non-exempt projects that are in *Plan Bay Area 2040*, are not in the 2017 TIP, and need to be added to the 2019 TIP, please email Adam Crenshaw at [acrenshaw@mtc.ca.gov](mailto:acrenshaw@mtc.ca.gov) by **March 1, 2018**, with the following information:

- County
- Project sponsor
- RTP ID of the project in *Plan Bay Area 2040*
- Primary sub-mode (from the list included in FMS)
- Project description
- Total project cost – In year of expenditure dollars
- Federal fiscal year in which funding for right-of-way activities is expected to be allocated/obligated, if applicable
- Federal fiscal year in which funding for construction activities is expected to be allocated/obligated
- Year of completion (when it will open to the public)

Attachment C is an excel template of the required information. Project sponsors are encouraged to include information for projects when they are unsure if it is a non-exempt project type so MTC staff can help in identifying the exemption status.

**2. Existing Non-Exempt Projects**

For existing non-exempt projects in the 2017 TIP, please focus your review on the following elements:

- Will the project be completed and open to the public by September 30, 2018? Projects that will be open to the public by this date should be archived from the TIP. Projects do not need to be active in the TIP to be closed out.
- Is the project properly described in the TIP? Review the project titles and project descriptions to ensure that the names, limits and scopes are accurate and clearly defined.
- Are all funded phases reflected in the project listing? If a project listing does not show an amount programmed for a non-exempt capital phase, but funding has been approved for this phase, please indicate this in your response. This includes phases that are locally funded.
- Will the project be completed as indicated in the Air Quality Conformity Analysis? The last columns on Attachments A and B include the Air Quality Conformity Analysis Year in which each RTP and non-exempt TIP project is currently modeled for air quality conformity. If the project will not be open to the public by the end of the calendar year listed, please let us know. If a project will be opened to the public in phases, please provide these years for each phase.

**IMPORTANT:**

Non-Exempt projects must be completed and operational (“open to the public”) by the end of the air quality conformity year in which it is modeled for the regional Transportation-Air Quality Conformity Analysis for *Plan Bay Area 2040* and the TIP. Since 2020 is the next analysis year and is in the middle of the 2019 TIP period (FY2018-19 through FY2021-22) any project with this analysis year must demonstrate full funding commitment within the first two years of the TIP period in order to meet this milestone. The use of the fund source “RTP-LRP” is not permitted for such projects. Non-Exempt projects with an analysis year of 2020 and not demonstrating full funding commitment will need to have their schedule revised to reflect a later opening date.

MTC Planning Department staff will also be reaching out to sponsors separately to confirm that the modelling details submitted for *Plan Bay Area 2040* are still accurate.

If changes are needed to existing non-exempt projects, please email Adam Crenshaw at [acrenshaw@bayareametro.gov](mailto:acrenshaw@bayareametro.gov) by **March 1, 2018** with the following:

- TIP ID
- A description of the necessary change including what is currently shown in the TIP

Note: All costs must be escalated to year of expenditure.

If you have any funding specific question(s) please contact the following MTC staff persons:

- FHWA Funds including: STP/CMAQ, FHWA Earmarks – Mallory Atkinson (415) 778-6793
- FTA Funds including: Section 5307/5337/5339/AB664 – Rob Jaques (415) 778-5378
- FTA Earmarks - Glen Tepke (415) 778-6781
- STIP, Prop 1B Highway programs, RM2 highway projects - Kenneth Kao (415) 778-6768
- Active Transportation Program – Karl Anderson (415) 778-6645
- TIP Development and Fund Management System (FMS) - Adam Crenshaw (415) 778-6794

CMAs are advised to coordinate the timely project review by counties and cities and other jurisdictions within their county.

**Do not enter new non-exempt projects or revise the scope of existing non-exempt projects in FMS at this time, as changes submitted in FMS now may be deleted.** MTC will begin full development of the project listings for the 2019 TIP in February, 2018, and project sponsors will be requested to enter the projects and changes in the Fund Management System (FMS) at that time.

Attachment D includes the tentative schedule for the development of the 2019 TIP. Separate memoranda and emails will provide further detail on other 2019 TIP Development activities.

We appreciate your help in developing the 2019 TIP. Time spent now getting the TIP entries correct will save time in the future by minimizing additional changes, preventing additional air quality conformity actions, and avoiding potential project delivery delays. Thank you for your prompt attention to this request.

Attachment A - Projects included in *Plan Bay Area 2040*

Attachment B - Non-Exempt Projects in the 2017 TIP as of December 14, 2017

Attachment C - Call for New Non-Exempt Projects – Project Info Template - **Due March 1, 2018**

Attachment D - Tentative Schedule for the 2019 TIP Update

**Attachment - A**  
**Projects Included in Plan Bay Area 2040**

County/Transit Operator	Sponsor	System	RTP ID	Title	Total Cost (\$ x 1,000)	AQ Year
AC Transit	AC Transit	Public Transit	17-10-0001	AC Transit Fleet Expansion and Major Corridors	340	2030
AC Transit	AC Transit	Public Transit	17-10-0003	San Pablo Avenue BRT	300	2030
AC Transit	AC Transit	Public Transit	17-10-0004	Environmental Studies for Bay Bridge Contraflow Lane	20	2040
Alameda	AC Transit	Public Transit	17-01-0060	East Bay BRT	180	2020
Alameda	Alameda (City)	Public Transit	17-01-0009	New Alameda Point Ferry Terminal	177	2030
Alameda	Alameda (City)	Public Transit	17-01-0061	Ralph Appezato Memorial Parkway BRT	10	2020
Alameda	Alameda County	Street/Highway	17-01-0049	Fruitvale Avenue (Miller Sweeney) Lifeline Bridge Project	86	2040
Alameda	Alameda CTC	Goods Movement	17-01-0019	I-580 Integrated Corridor Mobility (ICM)	146	2030
Alameda	Alameda CTC	Goods Movement	17-01-0021	I-880 Whipple Road Interchange Improvements	80	2030
Alameda	Alameda CTC	Goods Movement	17-01-0023	I-880 Industrial Parkway Interchange Reconstruction	57	2030
Alameda	Alameda CTC	Goods Movement	17-01-0026	Minor Freight Improvements Programmatic	51	2040
Alameda	Alameda CTC	Street/Highway	17-01-0014	I-680 Southbound Express Lanes (SR-237 to SR-84) Upgrades	39	2040
Alameda	Alameda CTC	Street/Highway	17-01-0028	I-580/I-680 Interchange: Project Development and Phase 1 Short-term Operational Improvements	300	2030
Alameda	Alameda CTC	Street/Highway	17-01-0029	SR-84/I-680 Interchange Improvements and SR-84 Widening	278	2030
Alameda	Alameda CTC	Street/Highway	17-01-0030	I-880 Broadway/Jackson Interchange Improvements	244	2030
Alameda	Alameda CTC	Street/Highway	17-01-0031	I-880 at 23rd/29th Avenue Interchange Improvements	111	2020
Alameda	Alameda CTC	Street/Highway	17-01-0032	SR-84 Widening (Ruby Hill Drive to Concannon Boulevard)	88	2020
Alameda	Alameda CTC	Street/Highway	17-01-0040	I-80 Gilman Street Interchange Improvements	42	2040
Alameda	Alameda CTC	Street/Highway	17-01-0047	I-880 to Mission Boulevard East-West Connector	236	2030
Alameda	BART	Public Transit	17-01-0062	BART to Livermore/ACE Project Development and Construction Reserve	552.8	2040
Alameda	Dublin	Street/Highway	17-01-0038	I-580 Interchange Improvement at Hacienda/Fallon Road - Phase 2	58	2030
Alameda	Dublin	Street/Highway	17-01-0048	Dublin Boulevard - North Canyons Parkway Extension	89	2030
Alameda	Dublin	Street/Highway	17-01-0051	Tassajara Road Widening from N. Dublin Ranch Drive to City Limit	48	2030
Alameda	Dublin	Street/Highway	17-01-0053	Dougherty Road Widening	23	2020
Alameda	Dublin	Street/Highway	17-01-0057	Dublin Boulevard Widening - Sierra Court to Dublin Court	6	2020
Alameda	Emeryville	Street/Highway	17-01-0037	Ashby I-80 Interchange with Bicycle and Pedestrian Ramps	60	2040
Alameda	Fremont	Goods Movement	17-01-0020	SR-262 Mission Boulevard Cross Connector Improvements	112	2030
Alameda	Fremont	Public Transit	17-01-0058	Irvington BART Station	256	2030
Alameda	Fremont	Street/Highway	17-01-0050	SR-84 Mowry Avenue Widening (Peralta Blvd to Mission Blvd)	51	2030
Alameda	Fremont	Street/Highway	17-01-0052	Auto Mall Parkway Widening and Improvements	30	2030
Alameda	Fremont	Street/Highway	17-01-0055	SR-84 Peralta Boulevard Widening (Fremont Blvd to Mowry Ave)	15	2030
Alameda	Hayward	Goods Movement	17-01-0024	I-880 A Street Interchange Reconstruction	54	2030
Alameda	Hayward	Street/Highway	17-01-0036	SR-92/Clawiter Road/Whitesell Street Interchange Improvements	62	2030
Alameda	Hayward	Street/Highway	17-01-0041	I-880 Winton Avenue Interchange Improvements	41	2030
Alameda	Livermore	Street/Highway	17-01-0033	I-580 Vasco Road Interchange Improvements	81	2030
Alameda	Livermore	Street/Highway	17-01-0034	I-580 Greenville Road Interchange Improvements	68	2030
Alameda	Livermore	Street/Highway	17-01-0035	I-580 First Street Interchange Improvements	62	2030
Alameda	Livermore	Street/Highway	17-01-0039	I-580 SR-84/Isabel Interchange Improvements Phase 2	43	2030
Alameda	Newark	Street/Highway	17-01-0056	Thornton Avenue Widening (Gateway Boulevard to Hickory Street)	15	2030
Alameda	Oakland	Bicycle/Pedestrian	17-01-0046	Coliseum City Transit Hub	181	2040
Alameda	Oakland	Goods Movement	17-01-0016	Oakland Army Base transportation infrastructure improvements	314	2040
Alameda	Oakland	Public Transit	17-01-0063	Broadway Shuttle Expansion	37	2040
Alameda	Oakland	Street/Highway	17-01-0043	42nd Ave & High St Access Improvement at I-880 On/Off Ramp	18	2020
Alameda	Oakland	Street/Highway	17-01-0064	Additional Local Road Preservation/Rehab	350	2040

County/Transit Operator	Sponsor	System	RTP ID	Title	Total Cost (\$ x 1,000)	AQ Year
Alameda	Pleasanton	Street/Highway	17-01-0042	I-680 Overcrossing Widening and Improvements (at Stoneridge Drive)	19	2030
Alameda	Pleasanton	Street/Highway	17-01-0044	I-680 Sunol Interchange Modification	18	2020
Alameda	Pleasanton	Street/Highway	17-01-0045	Santa Rita Road I-580 Overcrossing Widening	10	2030
Alameda	Port of Oakland	Goods Movement	17-01-0015	7th Street Grade Separation East	558	2040
Alameda	Port of Oakland	Goods Movement	17-01-0017	Outer Harbor Intermodal Terminal (OHIT) Phases 2 and 3	205	2040
Alameda	Port of Oakland	Goods Movement	17-01-0018	7th Street Grade Separation West	171	2040
Alameda	Port of Oakland	Goods Movement	17-01-0022	Outer Harbor Turning Basin	65	2040
Alameda	Port of Oakland	Goods Movement	17-01-0025	Oakland International Airport Perimeter Dike	53	2040
Alameda	Port of Oakland	Goods Movement	17-01-0027	Middle Harbor Road Improvements	33	2040
Alameda	Union City	Public Transit	17-01-0059	Union City Intermodal Station Phase 4	78	2040
Alameda	Union City	Street/Highway	17-01-0054	Union City Boulevard Widening (Whipple to City Limit)	17	2030
Alameda	Various	Bicycle/Pedestrian	17-01-0001	Bicycle and Pedestrian Program	658	2040
Alameda	Various	Bicycle/Pedestrian	17-01-0004	Multimodal Streetscape	461	2040
Alameda	Various	Other	17-01-0002	Climate Program: TDM and Emission Reduction Technology	150	2040
Alameda	Various	Other	17-01-0003	County Safety, Security and Other	732	2040
Alameda	Various	Other	17-01-0005	PDA Planning	61	2040
Alameda	Various	Public Transit	17-01-0008	Minor Transit Improvements	962	2040
Alameda	Various	Street/Highway	17-01-0006	Minor Roadway Expansions	203	2040
Alameda	Various	Street/Highway	17-01-0007	Roadway Operations	203	2040
BART	BART	Public Transit	17-10-0005	BART Metro Program + Bay Fair Connector	1055	2030
BART	BART	Public Transit	17-10-0006	BART Transbay Core Capacity Project	3511	2040
BART	BART	Public Transit	17-10-0063	BART Seismic Safety Augmentation	90	2040
BART	BART	Public Transit	17-10-0064	Hayward Maintenance Complex Phase 1	433	2040
WETA	WETA	Public Transit	17-10-0040	North Bay Ferry Service Enhancement	220	2020
WETA	WETA	Public Transit	17-10-0041	Central Bay Ferry Service Enhancement	212	2020
WETA	WETA	Public Transit	17-10-0042	Albany/Berkeley Ferry Terminal	143	2030

**Attachment - B**  
**Non-Exempt Projects in the 2017 TIP as of December 14, 2017**

County	Sponsor	TIP ID	Project Name	Project Description	Total Cost	RTP ID	AQ Year
Alameda	AC Transit	ALA150004	AC Transit: East Bay Bus Rapid Transit	Alameda County: Along Broadway/ International/E 14th corridor from Oakland to San Leandro: Implement BRT including 34 stations, transit signal priority, level-boarding, shelters, off-board ticketing.	\$181,251,242	17-01-0060	2020
Alameda	ACTC	ALA050014	SR 84 Expressway Widening	In Livermore: Widen Route 84 from Jack London Blvd. to Pigeon Pass.	\$120,319,000	17-01-0032	2020
Alameda	ACTC	ALA050019	I-880 North Safety Improvements	Oakland: I-880 between 23rd Ave to 29th Ave; Reconfigure Interchange, including new ramps.	\$108,630,000	17-01-0031	2020
Alameda	ACTC	ALA070042	I-880 SB HOV Lanes - Marina Blvd to Hegenberger	I-880 Corridor: From Marina Blvd in San Leandro to Hegenberger in Oakland; Construct new SB HOV lanes and reconstruction of interchanges at Marina Blvd and Davis St. and soundwall construction.	\$116,749,000	17-10-0025	2040
Alameda	ACTC	ALA090018	Truck Parking Facilities in North County (Phase I)	Alameda County: Provide safe parking facilities in north part of Alameda County.	\$2,000,000	17-01-0026	2040
Alameda	ACTC	ALA090019	Corridor Mobility Program & Adaptive Ramp Metering	Central Alameda County: I-880/ I-238/ I-580. Install monitoring and signalization I-880, I-238 and I-580.	\$47,000,000	17-01-0007	2040
Alameda	ACTC	ALA110002	I-880/Industrial Parkway West Interchange	In Hayward: At I-880/Industrial Parkway West: Reconstruct interchange, add on/off-ramp lanes, widen ramp lanes, provide HOV bypass lanes and routine accommodation for bicyclists and pedestrians.	\$57,000,000	17-01-0023	2030
Alameda	ACTC	ALA130034	I-680 NB HOV/HOT Lane	Route I-680: from South of Auto Mall Parkway to State Route 84 in Alameda County, construct NB HOV/HOT Lane.	\$198,198,000	17-10-0058	2030
Alameda	ACTC	ALA150001	Route 84 widening, Pigeon Pass to I-680	In Alameda County: On SR-84 from Pigeon Pass to I-680 (PM 17.9/22.9): Widen roadway from 2 lanes to 4 lanes; On I-680 from SR 84 to north of Andrade Creek: Construct aux lane; On I-680: extend SB express lane to north of Koopman Road (PM 15.3)	\$220,000,000	17-01-0029	2030
Alameda	ACTC	ALA170001	State Route 262 (Mission Blvd) Improvements	In Fremont: Mission Blvd/I-680 IC: widen Mission Blvd to 3 lanes each direction through IC, rebuild the NB and SB I-680 on and off ramps	\$20,120,000	17-01-0020	2030
Alameda	ACTC	ALA170004	I-880/West Winton Avenue Interchange	In Hayward: At I-880/West Winton Avenue I/C: Reconstruct I/C including reconfiguration of eastbound to southbound on ramp and new connection to Southland Mall Drive	\$41,000,000	17-01-0041	2030
Alameda	ACTC	ALA170005	I-880/Whipple Road Interchange Improvements	In Union City/Hayward: at I-880/Whipple Rd Interchange: Implement full interchange improvements including northbound off-ramp, surface street improvements and realignment, and bike/ped	\$68,000,000	17-01-0021	2030
Alameda	ACTC	ALA170008	I-580/680 Interchange HOV/HOT Widening	Alameda County: On I-580 between Hacienda Dr. and San Ramon/Foothill Road and on I-680 between Stoneridge Dr. and Amado: Widen to add one HOV/HOT lane for WB 580 to SB 680 and NB 680 to EB 580 movements at connector and to Tassajara Road	\$186,000,000	17-01-0028	2030
Alameda	ACTC	ALA170009	Widen I-680 NB and SB for EL from SR-84 to Alcosta	Alameda County: Northbound I-680 from Route 84 to Alcosta Boulevard: Widen for express lanes	\$269,000,000	17-10-0058	2030
Alameda	ACTC	ALA170010	I-880 NB HOV/HOT: North of Hacienda to Hegenberger	Alameda County: I-880 in the northbound direction from north of Hacienda Ave to Hegenberger Road: Widen to provide one HOV/express lane	\$221,000,000	17-10-0057	2030
Alameda	ACTC	ALA978004	East-West Connector in Fremont & Union City	In Fremont & Union City: From I-880 to Route 238; Construct new 4-lane roadway and widen existing roadways. Project is phased	\$196,080,000	17-01-0047	2030
Alameda	BAIFA	ALA170006	ALA-880 Express Lanes	In Alameda/Santa Clara Counties: On I-880 from Hegenberger to Dixon Landing (Southbound) and Dixon Landing to Lewelling (Northbound); Convert HOV lanes to express lanes. Project also references RTP ID 240741	\$77,900,000	17-10-0052	2020
Alameda	BART	ALA110003	Hayward Shop and Yard Expansion	Expansion of the Hayward Shop and Yard to accommodate additional rail vehicles for storage, maintenance and repair.	\$160,499,000	17-10-0064	2040
Alameda	BART	ALA130032	BART Metro Priority Track Elements	BART: In Lafayette, Dublin and Millbrae: Provide three critical track extensions in order to provide the BART system with additional operational flexibility and additional capacity, all within existing right-of-way.	\$8,500,057	17-10-0005	2030
Alameda	BART	ALA170044	Bay Fair Connection	BART: At and near Bay Fair Station: Modify station and approaches to add one or more additional tracks and one or more passenger platforms for improved train service and operational flexibility	\$150,000,000	17-10-0005	2030
Alameda	Dublin	ALA130005	Dougherty Road Widening	Dublin: Dougherty Road from Sierra Lane to North City Limit: Widen from 4 lanes to 6 lanes	\$18,990,000	17-01-0053	2020
Alameda	Dublin	ALA130006	Dublin Boulevard widening	In Dublin: Dublin Blvd between Sierra Court and Dublin Court: Widen from 4 lanes to 6 lanes.	\$4,330,000	17-01-0057	2020
Alameda	Dublin	ALA150003	Dublin Blvd. - North Canyons Pkwy Extension	Dublin: Between Dublin Boulevard and North Canyons Parkway: Build roadway extension	\$88,253,000	17-01-0048	2030
Alameda	Dublin	ALA170045	I-580 Interchange Imps at Hacienda/Fallon Rd, Ph 2	In Dublin: (1) I-580/Fallon Rd I/C Improvements (Phase 2): Reconstruct overcrossing to add lanes; (2) I-580 Hacienda Dr I/C Improvements: Reconstruct overcrossing to add lanes	\$58,000,000	17-01-0038	2030

County	Sponsor	TIP ID	Project Name	Project Description	Total Cost	RTP ID	AQ Year
Alameda	Fremont	ALA130001	Widen Kato Rd from Warren Avenue to Milmont Drive	In Fremont: Widen Kato Road from Warren Avenue to Milmont Drive. Widen Kato Road to four lanes and install bike lanes on both sides of the roadway and modify traffic signal at Kato Rd/Milmont Ave.	\$12,690,000	17-01-0006	2040
Alameda	Hayward	ALA090016	Rt 92/Clawiter/Whitesell Interchange Improvements	Hayward: Rt 92/Clawiter Rd. Upgrade existing Clawiter interchange. Add ramps and overcrossing for Whitesell St. extension. Signalize ramp intersections.	\$55,000,000	17-01-0036	2030
Alameda	Hayward	ALA090020	I-880 Auxiliary lanes at Industrial Parkway	Hayward: Construct auxiliary lanes on I-880. NB between Industrial Pkwy and Alameda Creek and SB between Industrial Pkwy and Whipple Rd	\$9,800,000	17-01-0007	2040
Alameda	Hayward	ALA090021	I-880 NB and SB Auxiliary lanes	Hayward: NB and SB I-880 between West A and Winton. NB I-880 between A St and Paseo Grande.	\$22,117,000	17-01-0007	2040
Alameda	Hayward	ALA170046	I-880/A Street Interchange Reconstruction	Hayward: I-880/A St. I/C: Reconstruct interchange to widen A St from 5 to 6 lanes, add bike lanes, and provide additional lane capacity for potential future freeway widening, modify signals and reconfigures intersections to improve truck-turning maneuvers	\$54,000,000	17-01-0024	2030
Alameda	MTC	ALA110104	Bay Bridge Park	Bay Bridge Park in Alameda County, in Oakland at the Oakland Touchdown of the new East Span of the Bay Bridge (Project previously titled "SFOBB Gateway Park")	\$16,500,000	17-01-0001	2040
Alameda	Oakland	ALA110046	Oakland Army Base Infrastructure Improvements	In Oakland: At former Oakland Army Base: Implementing Army Base Infrastructure Master Plan including TCIF funded OHIT improvements implemented by City of Oakland. For the related Port project, see ALA090026. Project also references RTP ID 22760	\$288,580,000	17-01-0016	2040
Alameda	Oakland	ALA170043	Oakland - 14th Street Safe Routes in the City	In Oakland: On 14th St between Brush St and Oak St: Reduce travel lanes from 4 to 2, add paved Class IV protected bicycle lanes; transit boarding islands; improve ped facilities including refuges, crossings, signals; and implement rain gardens.	\$14,032,000	17-01-0004	2040
Alameda	Oakland	ALA991081	42nd Ave. & High St. I-880 Access Improv.	Oakland: Widening and re-alignment of local streets in the vicinity of the I-880/42nd & High interchange. Includes modified traffic signals and intersection improvements.	\$17,790,000	17-01-0043	2020
Alameda	Port of Oakland	ALA090026	Outer Harbor Intermodal Terminals (OHIT)	In Oakland: OHIT, a proposed intermodal rail complex, will be located on the former Oakland Army Base and adjacent land. This listing only includes segments implemented by the Port of Oakland. For City of Oakland segments, see ALA110046.	\$106,000,000	17-01-0017	2040
Alameda	Port of Oakland	ALA090027	7th St Grade Separation and Port Arterial Improvem	In Oakland: (1) 7th Street Grade Separation project; (2) Middle Harbor Road Improvements project; and (3) Intelligent Transportation Systems and Technology (ITST) Master Plan	\$515,000,000	17-01-0018	2040
Alameda	San Leandro	ALA050002	SR 185- E. 14th St/ Hesperian Blvd/150th Ave	San Leandro: 150th/E. 14th/Hesperian; construct NB left turn Ln from Hesperian to E.14th, EB left turn Ln from E.14th to 150th Av & SB Ln from Hesperian to 150th and other traffic circulation improvements.	\$3,400,000	17-01-0007	2040
Alameda	San Leandro	ALA070014	I-880/SR 112 Overcrossing Replacement	San Leandro: at the I-880/SR 112 (Davis St.); Replace overcrossing and widening roadway including interchange landscaping and bridge architectural features.	\$7,723,000	17-10-0057	2030
Alameda	San Leandro	ALA090012	I-880/Marina Blvd Interchange and Overcrossing Rep	San Leandro: I-880/ Marina Blvd. Replace overcrossing and widening roadway plus ramp interchange reconfiguration, intersection improvements including interchange landscaping and bridge architectural features.	\$25,900,000	17-10-0057	2030
Alameda	WETA	ALA110001	Central Bay Operations and Maintenance Facility	WETA: Construct a central bay operations and maintenance facility.	\$71,221,466	17-10-0041	2020

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<b>Attachment D - Tentative Schedule for the 2019 TIP Update</b>	
<b>Milestone</b>	<b>Projected Date(s)</b>
Project Listing Development	January 2018 - June 2018
Call For New and Revised Non-Exempt Projects	January 2018 - March 1, 2018
FMS Closed for 2019 TIP Development	February 2018
FMS Open for Sponsor and CMA Review of Projects	February - March 2018
MTC Review of Projects	March - June 2018
Release Draft 2019 TIP	June 2018
Public Review and Comment	June - July 2018
Adopt 2019 TIP	September 2018
Caltrans Approval of the 2019 FSTIP	November 2018
FTA/FHWA Approval of the 2019 FSTIP	December 2018

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# Memorandum

4.4

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

**DATE:** February 1, 2018

**SUBJECT:** Alameda County Federal Inactive Projects

**RECOMMENDATION:** Receive an update on the federal Inactive Projects in Alameda County.

## Summary

Federal regulations require agencies receiving federal funds to invoice against each federal obligation at least once every six months. Caltrans maintains a list of inactive obligations and projects are added to the list when there has been no invoice activity for six months. If Caltrans does not receive an invoice during the subsequent six-month period the project's federal funds will be at risk for deobligation by the Federal Highway Administration (FHWA). ACTAC is requested to review the latest inactive projects list (Attachment A), which identifies the federal funds at risk and the actions required to avoid deobligation.

## Background

In response to FHWA's requirements for processing inactive obligations, Caltrans Local Assistance proactively manages federal obligations, as follows:

- If Caltrans does not receive an invoice for more than six months, the project will be deemed "inactive" and added to the list of Federal Inactive Obligations. The list is posted on the Caltrans website and updated weekly:  
<http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>.
- Caltrans will notify local agencies the first time projects are posted.
- If Caltrans does not receive an invoice within the following six months (12 months without invoicing), Caltrans will deobligate the unexpended balances. The deobligation process is further detailed in [FHWA's Obligation Funds Management Guide](#), which states that project costs incurred after deobligation are not considered allowable costs for federal participation and are therefore ineligible for future federal reimbursement.

It is the responsibility of local agencies to work in collaboration with their respective District Local Assistance Engineers to ensure their projects are removed from the inactive list and avoid deobligation. Additionally, per the Metropolitan Transportation Commission's Regional Project Delivery Policy, MTC Resolution 3606, *"Agencies with projects that have not been invoiced against at least once in the previous six months or have not received a reimbursement within the previous nine months have missed the invoicing /reimbursement deadlines and are subject to restrictions placed on future regional discretionary funds and the programming of additional federal funds in the federal TIP until the project receives a reimbursement."* Thus, agencies with inactive projects must resolve their inactive status promptly to avoid deobligation and restrictions on future federal funds.

### **Next Steps**

Agencies with inactive projects identified in the attached report are to work with directly with their Caltrans District Local Assistance Engineer (DLAE) to clear the inactive invoicing status. Agencies are requested to provide periodic status updates to Alameda CTC programming staff until the project is removed from the Caltrans report. Email status updates to Jacki Taylor, [jtaylor@alamedactc.org](mailto:jtaylor@alamedactc.org).

**Fiscal Impact:** There is no fiscal impact.

### **Attachment**

- A. Alameda County List of Federal Inactive Projects, dated January 26, 2018

### **Staff Contacts**

[Jacki Taylor](#), Senior Program Analyst

[Andrea Gomez](#), Assistant Transportation Planner

**Alameda County Inactive Obligations  
Updated by Caltrans, 1/26/17**

4.4A

Updated by Caltrans on 01/26/2018

Project No.	Status	Agency Action Required	Reason for Delay	Agency	Description	Potential Deobligation Date	Latest Date	Authorization Date	Last Expenditure Date	Last Action Date	Total Cost	Federal Funds	Expenditure Amount	Unexpended Balance
5014042	Inactive	invoice under review by Caltrans. Monitor for progress.		Alameda	JEAN SWEENEY OPEN SPACE BETWEEN WEBSTER ST AND SHERMAN ST AND ALONG ATLANTIC AVENUE BETWEEN CONSTITUTION WAY AND WEBSTER AVENUE CROSS ALAMEDA TRAIL: CONSTRUCT CLASS I/III BIKE AND PEDESTRIAN TRAIL	3/15/2018	3/15/2017	3/15/2017		3/15/2017	\$2,414,730	\$1,882,000	\$0	\$1,882,000.00
5933125	Inactive	Invoice returned to agency. Resubmit to District by 02/20/2018		Alameda County	GROVE WAY, LAKE CHABOT RD., A ST., LIBERTY ST., VASCO RD. REHABILITATE PAVEMENT	3/24/2018	3/24/2017	4/9/2014	3/24/2017	3/24/2017	\$2,521,401	\$1,900,000	\$1,696,959	\$203,040.87
5178012	Inactive	Records indicate project is in Final Voucher. District to contact Final Voucher Unit to check status of project closure.		Albany	BUCHANAN/MARIN STREET FROM PIERCE ST. TO SAN PABLO, BIKE LANE & PED. WALKWAY	7/6/2017	7/6/2016	6/1/2012	7/6/2016	7/6/2016	\$2,484,942	\$1,702,000	\$1,624,623	\$77,376.58
5106008	Inactive	invoice under review by Caltrans. Monitor for progress.		Emeryville	SAN PABLO AVE (SR 123) BETWEEN 43RD & 47TH AVE., PEDESTRIAN WALKWAY	1/19/2018	1/19/2017	5/4/2012	1/19/2017	1/19/2017	\$617,290	\$617,290	\$392,580	\$224,710.02
5050044	Inactive	Carry over project. Provide status update to DLAE immediately.		Hayward	DOWNTOWN HAYWARD AND POSSIBLE ADDITIONAL LOCATIONS CAR SHARING SERVICES	12/2/2017	12/2/2016	12/2/2016		12/2/2016	\$245,880	\$200,480	\$0	\$200,480.00
5012113	Inactive	Submit invoice to District by 02/20/2018		Oakland	HEGENBERGER ROAD @ EDES AVE, BALDWIN ST, HAMILTON ST, 73RD AVE, UPGRADE TRAFFIC SIGNALS & INSTALL FLASHING BEACONS	3/21/2018	3/21/2017	1/25/2012	3/21/2017	3/21/2017	\$742,858	\$668,571	\$598,094	\$70,477.40
5012114	Inactive	Submit invoice to District by 02/20/2018		Oakland	BANCROFT AVE. / 94TH AVE., INSTALL TRAFFIC SIGNALS, CONSTRUCT CURB RAMPS	3/21/2018	3/21/2017	1/23/2012	3/21/2017	3/21/2017	\$564,062	\$485,100	\$415,788	\$69,312.03
5101028	Inactive	invoice under review by Caltrans. Monitor for progress.		Pleasanton	BRIDGE NO.33C0132 BERNAL AVE OVER ARROYO DE LA LAGUNA CLEAN BRIDGE AND APPLY PROTECTIVE COATING	11/30/2017	11/30/2016	3/29/2013	11/30/2016	12/13/2016	\$1,729,111	\$1,530,782	\$117,916	\$1,412,866.11
6073030	Inactive	Carry over project. Provide status update to DLAE immediately.		University Of California	WITHIN CITY OF BERKELEY, STUDY ON-CAMPUS PARKING PRICING	9/9/2016	9/10/2015	9/10/2015		9/10/2015	\$211,585	\$169,185	\$0	\$169,185.00
6073028	Inactive	Carry over project. Provide status update to DLAE immediately.		University Of California	UNIVERSITY OF CALIFORNIA, BERKELEY TECHNOLOGY TRANSFER CENTER, LOCAL TECHNICAL ASSISTANCE PROGRAM	4/30/2016	5/1/2015	5/1/2015		5/1/2015	\$199,726	\$99,863	\$0	\$99,863.00

**Alameda County Inactive Obligations  
Updated by Caltrans, 1/26/17**

Updated by Caltrans on 01/26/2018

Project No.	Status	Agency Action Required	Reason for Delay	Agency	Description	Potential Deobligation Date	Latest Date	Authorization Date	Last Expenditure Date	Last Action Date	Total Cost	Federal Funds	Expenditure Amount	Unexpended Balance
5014038	Future	Submit invoice to District by 05/21/2018		Alameda	PARK STREET, PARK STREET DRAW BRIDGE TO ENCINAL AVE, INSTALL LEFT TURN LANES PHASE, UPGRADE SIGNALS	6/21/2018	6/21/2017	1/18/2012	6/21/2017	6/21/2017	\$964,300	\$733,400	\$49,742	\$683,658.29
5014043	Future	Submit invoice to District by 05/21/2018		Alameda	JEAN SWEENEY OPEN SPACE: RAIL TO TRAIL CONVERSION OF THE FORMER ALAMEDA BELTLINE. CROSS ALAMEDA TRAIL - EDUCATION AND OUTREACH TO SCHOOL, PEDESTRIANS AND BICYCLISTS	4/17/2018	4/17/2017	4/17/2017		4/17/2017	\$141,000	\$123,000	\$0	\$123,000.00
6480013	Future	Submit invoice to District by 05/21/2018		Alameda County Transportation Commission	COUNTY WIDE- APPROXIMATELY 300 PUBLIC SCHOOL ALAMEDA COUNTY SAFE ROUTES TO SCHOOL PROGRAM OUTREACH AND EDUCATION. WORK PROGRAM IS FOCUSED ON SUPPORTING SCHOOLS IN PROGRAM IMPLEMENTATION , INTEGRATING SR2S CURRICULUM INTO SCHOOLS AND EDUCATION AND OUTREACH.	6/15/2018	6/15/2017	6/15/2017		11/13/2017	\$7,980,000	\$7,063,000	\$0	\$7,063,000.00
5012131	Future	Submit invoice to District by 05/21/2018		Oakland	MACARTHUR BLVD FROM HIGH ST TO RICHARDS ST. INSTALLATION OF BIKE LANES (CLASS I/II), TRAFFIC AND INTERSECTION RECONFIGURATION FOR PED/BIKE SAFETY	4/6/2018	4/6/2017	4/6/2017		4/6/2017	\$4,999,047	\$3,598,000	\$0	\$3,598,000.00
5012134	Future	Submit invoice to District by 05/21/2018		Oakland	7TH STREET FROM WOOD ST TO PERALTA ST. ROAD DIET, BICYCLE LANES, SIDEWALK ENHANCEMENT, AND PEDESTRIAN AMENITIES	4/6/2018	4/6/2017	4/6/2017		4/21/2017	\$3,744,000	\$3,288,000	\$0	\$3,288,000.00
5012145	Future	Invoice under review by Caltrans. Monitor for progress.		Oakland	IN OAKLAND: MONTCLAIR AND SELECT AREA OF DOWNTOWN. IMPLEMENT DEMAND-RESPONSIVE PARKING AND TRANSPORTATION DEMAND MANAGEMENT INITIATIVES	4/7/2018	4/7/2017	4/7/2017		4/7/2017	\$1,584,050	\$1,300,000	\$0	\$1,300,000.00
5012143	Future	Submit invoice to District by 05/21/2018		Oakland	TELEGRAPH AVENUE BETWEEN 20TH STREET AND 41ST STREET INSTALLATION OF DEDICATED BICYCLE FACILITIES, PEDESTRIAN CROSSINGS, AND TRANSIT BOARDING ISLANDS (TC)	4/6/2018	4/6/2017	4/6/2017		7/24/2017	\$877,000	\$877,000	\$0	\$877,000.00
5354040	Future	Submit invoice to District by 05/21/2018		Union City	INTERSECTIONS OF ALVARADO-NILES ROAD AT MANN AVE/UNION SQUARE AND ALVARADO BLVD AT GALAXY WAY.. REMOVE PEDESTRIAN MOUNTED SIGNAL HEADS, INSTALL NEW MAST ARMS, AND RELATED IMPROVEMENTS	6/13/2018	6/13/2017	6/13/2017		6/13/2017	\$65,000	\$65,000	\$0	\$65,000.00

**Color Key for Agency Action**

	Project is inactive for more than 12 months and is carried over from last quarter inactive project list.
	Invoice / Final invoice is under review
	Project is in final voucher process. District can contact Final voucher unit to verify and get an update.
	Invoice is returned and agency needs to contact DLAE to resubmit the invoice.
	Invoice is overdue.



# Memorandum

5.1

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

• www.AlamedaCTC.org

<b>DATE:</b>	February 1, 2018
<b>SUBJECT:</b>	Grade Crossing Analysis and Safety Improvements Update
<b>RECOMMENDATION:</b>	Receive update on the grade crossing analysis of the Rail Strategy Study; approve the grade crossing prioritization framework; and approve of staff using the prioritization results to advance discussions for a joint advocacy and improvement program.

## Summary

This memo provides an update on the grade crossing component of Alameda CTC's Rail Strategy Study (RSS). The RSS is an outgrowth of recommendations included in the Countywide Goods Movement Plan and the Countywide Transit Plan, both of which identified significant growth potential for rail in the county. The grade crossing analysis is a critical element of the RSS as it seeks to develop a strategic framework for advancing grade crossing improvements throughout the county in order to improve safety and reduce community impacts. In addition, the grade crossing work is developing a toolkit for jurisdiction staff to use as a resource to advance grade crossing improvements throughout the county.

A key aspect of the strategy is to identify a list of high-priority crossings or collection of crossings, referred to as corridors, for funding advocacy and project development. The corridors include those areas between individual crossings, where trespassing can be an issue. In November 2017 and February 2018, staff met with an ACTAC working group to get input on the prioritization methodology, review initial prioritization results, and share the toolkit resource. This memo describes the final prioritization methodology and initial results. Crossings and corridors have been prioritized based on safety, vehicle delay, emissions, and noise impacts, as well as whether or not the crossing is in a high-growth Priority Development Area or a Community of Concern.<sup>1</sup> Application of this analysis has identified a tier one set of 23 high priority crossings and 8 high priority corridors. As a next step, staff will work with partner agencies to develop recommended next steps to advance improvements in each of the tier one crossings and corridors.

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<sup>1</sup> Community of Concern refers to MTC's designation of communities that have high concentration of both minority and low-income households or that have a concentration of other factors including people with disabilities, seniors, and cost-burdened renters.

As a complement to the prioritization strategy, the grade crossing effort includes the development of a toolkit to assist local jurisdiction identify the types of safety and impact reduction improvements (e.g. improved signals and warning devices, grade separations, crossing closures, quiet zones) that are most cost-effective in different types of locations and typical situations around the County. This memo provides a brief introduction to the draft grade crossing improvement toolkit, which the project team is still refining, and will be a resource for agencies to use to advance safety improvements and quiet zones in their jurisdictions.

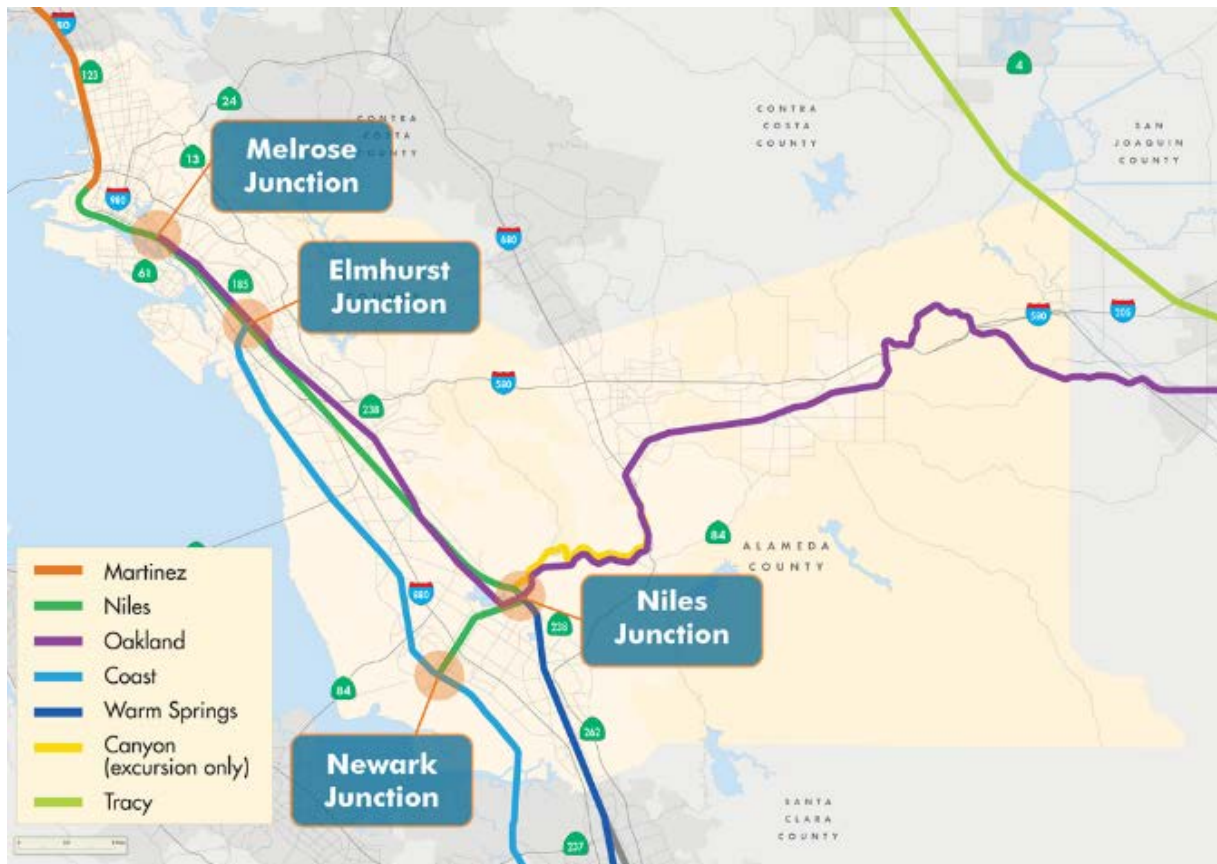
Staff recommends that the Commission approve the grade crossing prioritization framework and approve staff using the prioritization results to advance discussions for a joint advocacy and improvement program. Staff will return in the spring to provide an update on the development of the program.

## **Background**

The rail system in Alameda County is a critical transportation link serving a unique role for both people and goods movement. Alameda County contains the core of the Bay Area/Northern California freight and passenger rail system. Two Class 1 freight railroads (the Union Pacific Railroad (UP) and the BNSF Railway), two intercity passenger services (Capitol Corridor and Altamont Corridor Express), and two longer distance rail services (Amtrak Coast Starlight and the San Joaquin's intercity rail service) operate in the county. The system is owned by UP, with the passenger rail providers operating as tenants on UP-owned right of way. Figure 1 presents a map of the existing rail infrastructure, colored by subdivision name, and identification of some critical rail junctions in Alameda County.



Figure 1. Existing Rail Infrastructure in Alameda County



The density of rail and the historic and projected patterns of development in Alameda County result in numerous locations where rail tracks pass through established communities and lead to safety and delay issues where these tracks intersect with roadways. There are 133 public at-grade rail crossings on the mainline in Alameda County. These crossing locations are used by trains, cars, trucks, bicyclists and pedestrians with potential impacts on safety and the efficient movement of people and goods. As shown in Figures 2-4, much of Alameda County's rail infrastructure travels through Communities of Concern, Priority Development Areas, and in close proximity to schools and parks. Sixty-six of crossings are located in Communities of Concern and fifty are located in Priority Development Areas.

Alameda CTC included the grade crossing element in the RSS in order to better understand the impacts of rail throughout the county and identify strategies to reduce those impacts both now and in the future. A first step in that process is to quantitatively identify those crossings and corridors most impacted today in order to have a prioritized program of projects to jointly advocate for on an ongoing basis. This model has been successful in other parts of the county in terms of maintaining an ongoing focus on grade crossing safety improvements and over time securing funding to systematically advance the improvements.

Figure 2. Alameda County Rail Network and Communities of Concern

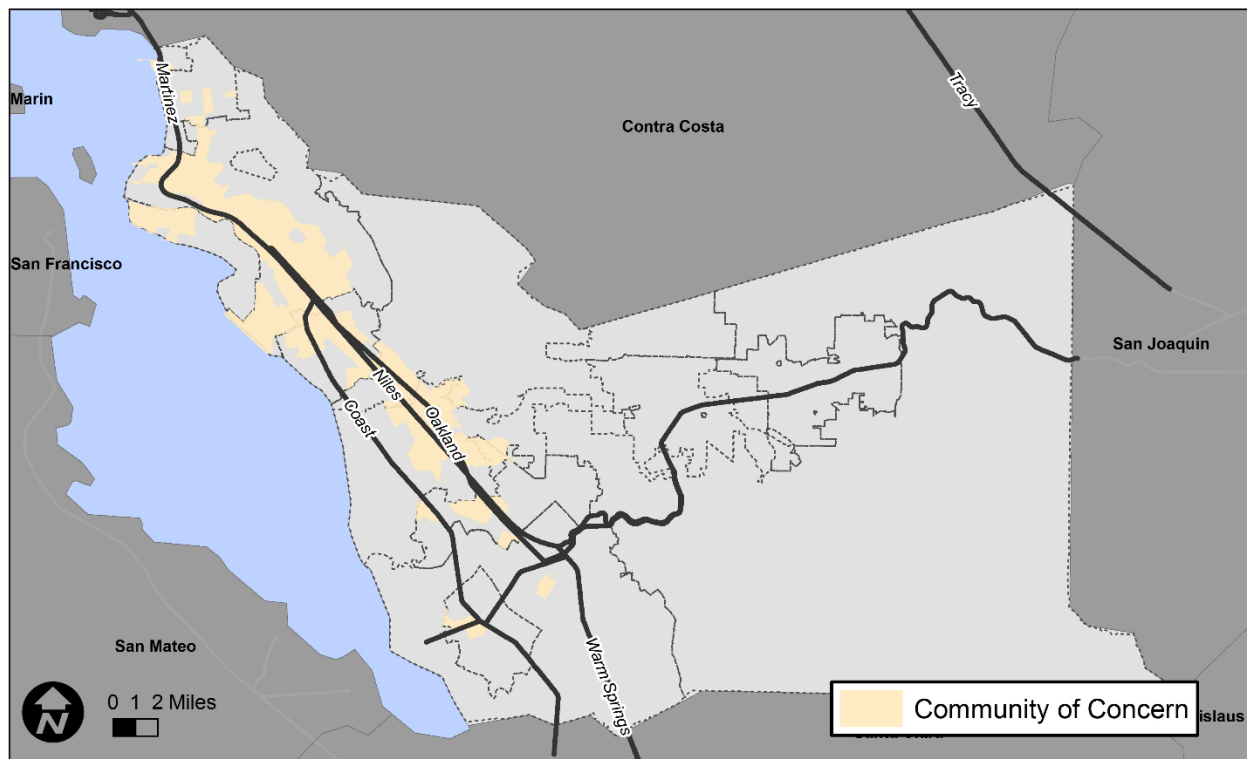


Figure 3. Alameda County Rail Network and Priority Development Areas

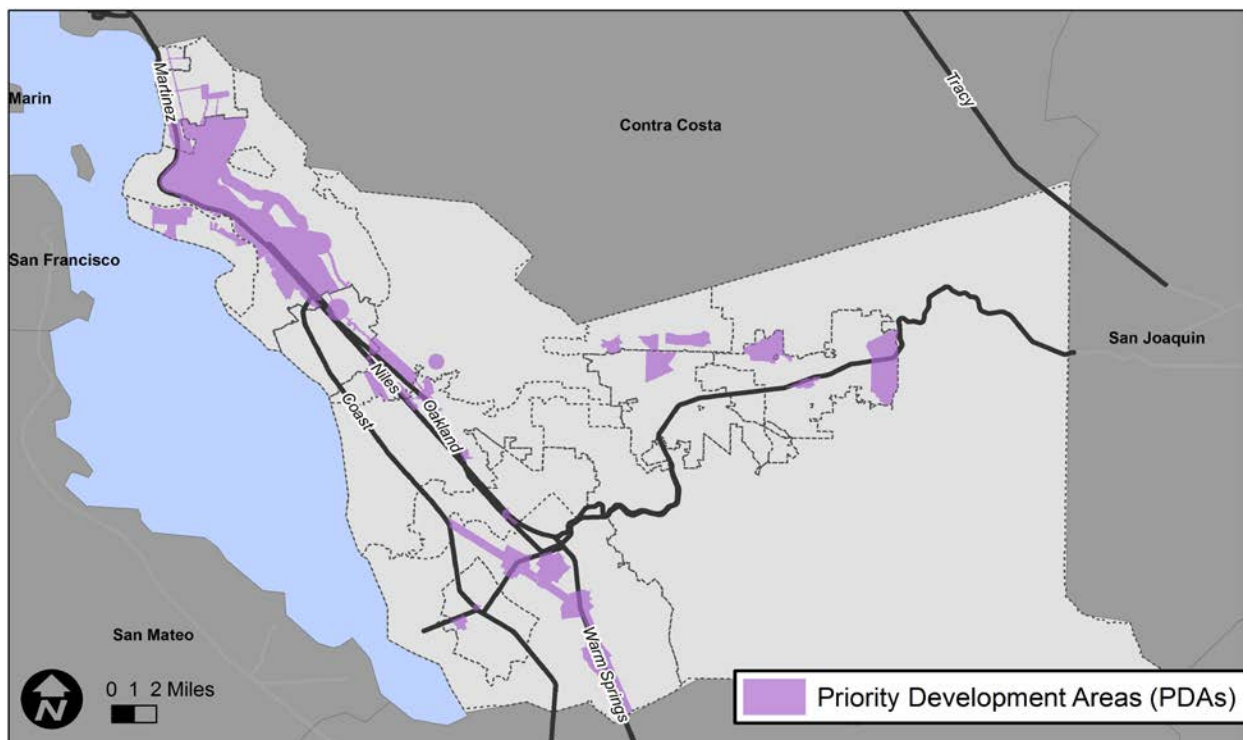
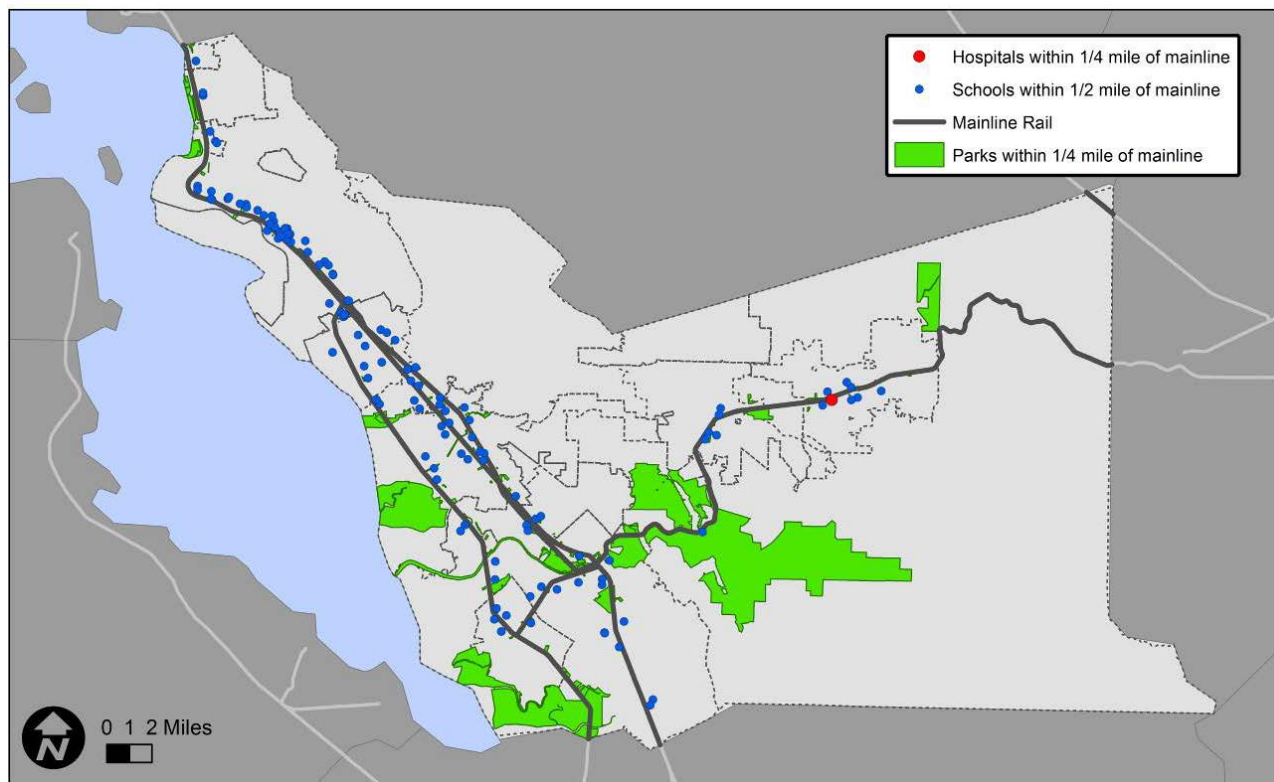


Figure 4. Sensitive Land Uses close to the Alameda County Rail Network



### Prioritization Methodology

A prioritization methodology was developed based on readily available data and known impacts related to grade crossings. The framework includes four measures: social cost, noise index, high growth areas, and equity.

- **Social Cost** estimates economic disbenefits of collisions, vehicle delay, and emissions. Safety impacts comprise the majority of the social cost figure. This includes both history of collisions as well as projected collisions using a Federal Railroad Administration predictor tool. Delay impacts are based on vehicle volumes, slow train speeds, and a person's value of time. Emission impacts are based on the health costs of exposure to pollutants from idling vehicles. Social cost is calculated for a base year of 2016.
- **Noise Index** estimates the magnitude of train horn exposure to residents within 1/4 mile of the rail tracks, based on best practices from the Federal Railroad Administration. Noise index is calculated for a base year of 2016.
- **Growth** is incorporated through an index of projected household and employment growth of Priority Development Areas (PDAs) located along the rail network. Growth is calculated between 2010 and 2040 per land use adopted in Plan Bay Area 2040.
- **Equity** is reflected through a spatial assessment of crossings within Communities of Concern.

Table 1 presents the scoring methodology for how these four measures are combined into a single metric. The social cost metric has the highest weight, followed by noise. A crossing in a Community of Concern or within a high-growth PDA has the same weight. For each of these categories except Community of Concern, ranges are defined that determine the points associated with different levels of the category. For example, crossings with social cost values that are greater than \$900,000 would receive the full 60 points. For Community of Concern, there are two possible values, based on if it is in a Community of Concern or not, rather than a range.

**Table 1. Draft Prioritization Scoring**

Total Social Cost	Residential Noise Index	PDA Growth Level in PBA2040	Community of Concern	Max Possible
0-60 points	0-20 points	0-10 points	0 or 10 points	100 points

Each of these factors were estimated first for individual crossings and then summed into groupings of crossings referred to as corridors. Corridors are a series of crossings generally spaced relatively close to each other with consideration given to jurisdiction boundaries and rail subdivisions. By looking at corridors and the roadway circulation patterns for vehicles that use the crossings, it is possible to take into consideration the interaction of crossings in a corridor in terms of operations, safety, and potential benefits. Aggregating the prioritization criteria by corridors also highlights areas of importance that might not rank as highly when considered individually but taken together have large impacts on communities. Additionally, the social cost of trespass collisions was calculated for corridors. Figure 5 presents the map of corridors used for this assessment.

Figure 5. Definition of Rail Corridors



## Prioritization Results - Crossings and Corridors

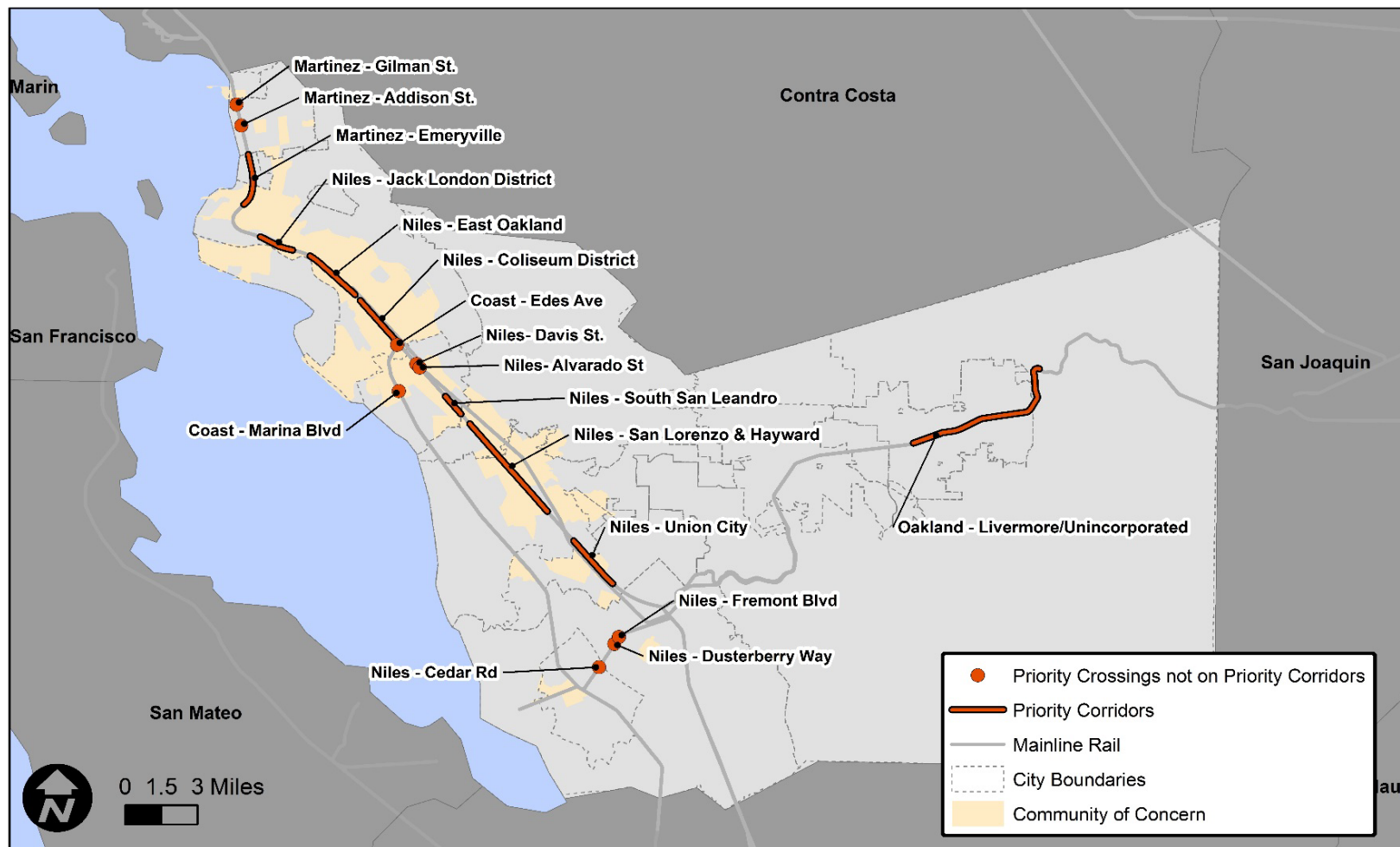
Applying the scoring methodology has identified a top tier consisting of 23 high priority crossings and 8 high priority corridors. The majority of the top 23 high priority crossings are also located in the 8 high priority corridors. Figure 6 presents the highest scoring corridors as well as those high priority crossings that are outside of these corridors. These corridors and crossings all scored at least 60 points out of 100 possible points. Appendix A lists the high priority corridors and crossings reflected on the map as well as the underlying scores across the different categories. Note that all of the crossings included in a high-priority corridor would be considered high-priority even if not listed individually in Appendix A.

Key findings of this assessment include:

1. Safety has the largest impact on the analysis. This is in part because of standard benefit cost analysis methodology, which rightfully places a very high value on a person's life. Safety costs represent 71 percent of the total social costs for individual crossings. Delay costs are 28 percent and emissions costs are minimal at one percent reflecting the relatively clean Bay Area auto and truck fleet. For corridors, safety costs represent 90 percent of the social costs due to the high frequency of trespass fatalities that occur between crossings. Delay costs are 10 percent of the total social costs at corridors and emissions are less than one percent.
2. In the scoring metric, the Niles-East Oakland and Niles-San Lorenzo & Hayward corridors scored at least 90 points due to having the highest social costs, medium to high noise index, and for being within Communities of Concern. The Niles-East Oakland corridor is also within a high-growth PDA. Both corridors have experienced significant safety issues in the last decade, with 8 fatalities on the East Oakland Corridor and 3 fatalities on the San Lorenzo & Hayward Corridor. Additionally, there were 3 and 11 trespass fatalities on the East Oakland and San Lorenzo & Hayward corridors, respectively, in the last 6 years.
3. The highest scoring crossing is the Fruitvale Avenue crossing in Oakland, followed by Hesperian Boulevard in San Leandro, 29<sup>th</sup> Avenue in Oakland, and Edes Avenue in Oakland. With the exception of Edes Avenue, all of these crossings have among the highest safety issues; Edes Avenue experiences among the highest delay based on ADT and train speeds. All of these crossings are also within Communities of Concern.



Figure 6. High Priority Corridors and Crossings



Note: All crossings along a high-priority corridor are considered a high-priority crossing.

## Grade Crossing Improvement Toolkit Overview

The grade crossing strategy includes development of a toolkit for local agencies that provides information and tools to identify candidate crossing improvements across a range of improvement options. The toolkit describes rail crossing treatments such as grade separations, closures, consolidation, passive treatments, active devices, quiet zones, and specialized treatments for pedestrian/bicycle issues. The toolkit then outlines the process by which cities initiate grade crossing projects with state agencies such as Caltrans and CPUC as well as coordination required with UP. Finally, the toolkit provides a framework for scoping projects using data collected through the Rail Strategy Study and applies the toolkit to several of the highest priority corridors in Alameda County. Note that the work suggested through this toolkit can guide the approach to advance project preparation to move into later refined design and official coordination work ultimately required for implementation of treatments at crossings.

## Implementation

The prioritization framework and toolkit applications identify several opportunities for implementing grade crossing and trespassing treatments that will significantly improve safety, alleviate delay, and reduce noise impacts. This section describes implementation options for capital projects and rail safety education.

### *Education*

Given that safety is the largest issue identified through this assessment, staff has started to develop an implementation strategy for education and awareness. Many of the fatalities in the San Lorenzo and Hayward corridor are related to students trespassing over rail tracks to access the 33 schools within one half mile of the rail network within that corridor and the 54 within one mile. Twenty-two of these schools are also currently enrolled in Alameda CTC's Safe Routes to Schools (SR2S) Program. In the near-term, staff has already begun developing a partnership with the California Operation Lifesaver (OLI)<sup>2</sup> program to deliver training and education at the 15 schools currently enrolled in SR2S along this corridor. OLI is the nationally recognized rail safety education organization supported by the Federal Railroad Administration, FHWA, and Caltrans Division of Rail. Within the Bay Area, OLI is active in the Caltrain Corridor and partners with Sonoma County's SR2S program. In addition, staff are seeking grant funding from the Office of Traffic Safety to deliver OLI's rail safety education program to all of the schools within ½ mile of the rail corridor regardless of SR2S enrollment. Once a program is established in this area which has the highest number of safety incidents, the program will be expanded throughout the county as resources permit.

### *Capital Projects*

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<sup>2</sup> For more information on Operation Lifesaver, visit this website: <https://oli.org/>



There are several options for implementing capital projects, or engineering treatments, that range in level of involvement for Alameda CTC. The two primary mechanisms are through funding and project identification and development. Staff proposes to use the prioritization framework to guide funding advocacy, as a way to weight projects submitted to Alameda CTC for funding, and in developing projects in the near-term. Once projects and funding are in place, a partnership between jurisdictions, CPUC, Capitol Corridor, and UP will be required for successful project implementation. There are at least three examples of combined funding and project prioritization efforts nationwide, including the Freight Action Strategy in Washington, Alameda Corridor East in Southern California, and CREATE in the Chicago region, which have resulted in significant improvements in grade crossings over a period of time.

4. Freight Action Strategy (Washington) was established in 1998 to pursue funding for 25 high-priority rail capacity/connectivity projects in the Puget Sound. Nineteen of the projects have been completed to date.
5. Alameda Corridor East (ACE -Southern California) is a Joint Powers Authority (JPA) with implementation authority for managing and constructing grade crossing improvements. ACE has implemented safety and mobility improvements at 45 crossing and completed 9 of 13 planned grade separations.
6. CREATE (Chicago) is a partnership between the freight and passenger railroads, City of Chicago, State of Illinois, and US DOT. Since 1999, 34 of 70 projects have been completed or are under construction. Illinois DOT leads environmental efforts and the agencies that own the infrastructure are responsible for construction. A joint statement of understanding guides governance, funding, and implementation responsibilities to deliver over \$4 billion in projects.

**Next Steps:** Staff will develop a list of proposed improvements and next steps for each corridor or crossing in the Tier 1 list of priority crossings and corridors. This will include coordinating with the local jurisdictions to better understand what improvements have recently been made or are under development, conducting additional technical analysis and project scoping to identify potential improvements, and development of high-level cost estimates and schedules for advancing projects. In addition, staff will work with UP to assess these findings in relation to UP's crossing safety priorities and projects. Staff will work with partner agencies to discuss opportunities for a joint advocacy and project implementation program, similar to those examples listed above. Staff will return with specific next steps in the spring.

Staff will also continue to pursue grant funding to expand rail safety education for students throughout the county and will work to completely integrate rail safety into the SR2S program, including school safety assessments, funding permitting.

**Recommendation:** Approve the grade crossing prioritization framework and approve staff using the prioritization results to advance discussions for a joint advocacy and improvement program.

**Fiscal Impact:** There is no fiscal impact.

**Attachment**

A. Appendix A, Tier 1 Priority Crossing and Corridors

**Staff Contacts**

[Tess Lengyel](#), Deputy Executive Director of Planning and Policy

[Carolyn Clevenger](#), Director of Planning

[Kristen Villanueva](#), Senior Transportation Planner

**APPENDIX A – Tier 1 Priority Corridors and Crossings****Table A.1. High Priority Corridors Sorted by Score**

Corridor Grouping Name	Annual Social Cost	Social Cost Score	Noise Score	PDA Score	COC Score	Total Score
Niles - East Oakland	\$ 9,950,000	60	15	10	10	95
Niles - San Lorenzo & Hayward	\$ 21,670,000	60	20	0	10	90
Niles - Coliseum District	\$ 4,840,000	45	15	10	10	80
Niles - South San Leandro	\$ 5,580,000	45	10	5	10	70
Niles - Union City	\$ 5,090,000	45	10	0	10	65
Oakland - Livermore/Unincorporated <sup>1</sup>	\$ 4,020,000	45	15	5	0	65
Martinez - Emeryville	\$ 2,480,000	30	20	10	0	60
Niles - Jack London District	\$ 2,660,000	30	10	10	10	60
Notes: 1. This corridor does not have any Tier 1 crossings listed in Table A.2, because it has had a relatively high frequency of trespass fatalities since 2011, which significantly increase social cost estimates and are only reflected at the corridor-level.						

**Table A.2. High Priority Crossings Sorted by Score**

Street Name	Corridor Grouping Name	Annual Social Cost	Social Cost Score	Noise Score	PDA Score	COC Score	Total Score
Fruitvale	Niles - East Oakland	\$1,170,000	60	15	10	10	95
Hesperian Blvd	Niles - South San Leandro	\$990,000	60	10	5	10	85
29th Ave	Niles - East Oakland	\$740,000	45	20	10	10	85
Edes Ave	Coast - Oakland	\$470,000	45	15	10	10	80
High St	Niles - East Oakland	\$1,140,000	60	0	10	10	80
105th Ave	Niles - Coliseum District	\$490,000	45	10	10	10	75
37th Ave	Niles - East Oakland	\$900,000	45	10	10	10	75
E St	Niles - Union City	\$480,000	45	15	0	10	70
Marina Blvd	Coast - San Leandro	\$1,090,000	60	0	0	10	70

Street Name	Corridor Grouping Name	Annual Social Cost	Social Cost Score	Noise Score	PDA Score	COC Score	Total Score
Davis St.	Niles - Downtown District - San Leandro	\$680,000	45	10	5	10	70
Industrial Parkway	Niles - San Lorenzo & Hayward	\$420,000	45	20	0	0	65
Lewelling Blvd	Niles - San Lorenzo & Hayward	\$510,000	45	10	0	10	65
Dusterberry Way	Niles - Downtown District - Fremont	\$570,000	45	15	5	0	65
Fremont Blvd	Niles - Downtown District - Fremont	\$830,000	45	15	5	0	65
Addison St.	Martinez - Berkeley/Albany	\$410,000	45	10	10	0	65
50th Ave	Niles - East Oakland	\$560,000	45	0	10	10	65
5th Ave.	Niles - Jack London District	\$430,000	45	0	10	10	65
98th Ave	Niles - Coliseum District	\$390,000	30	15	10	10	65
Oak St.	Niles - Jack London District	\$330,000	30	15	10	10	65
Cedar Rd	Niles - Centerville	\$470,000	45	15	0	0	60
Gilman St.	Martinez - Berkeley/Albany	\$1,020,000	60	0	0	0	60
65th St.	Martinez - Emeryville	\$310,000	30	20	10	0	60
Alvarado St	Niles - Downtown District - San Leandro	\$330,000	30	10	10	10	60