



Meeting Notice

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Commission Vice Chair
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City of Oakland

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Director Elsa Ortiz

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BART
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Councilmember Laurie Capitelli

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City of Fremont
Mayor William Harrison

City of Hayward
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Mayor Jerry Thorne

City of San Leandro
Vice Mayor Michael Gregory

City of Union City
Mayor Carol Dutra-Vernaci

Executive Director
Arthur L. Dao

Alameda County Technical Advisory Committee

Thursday, January 9, 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.


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.

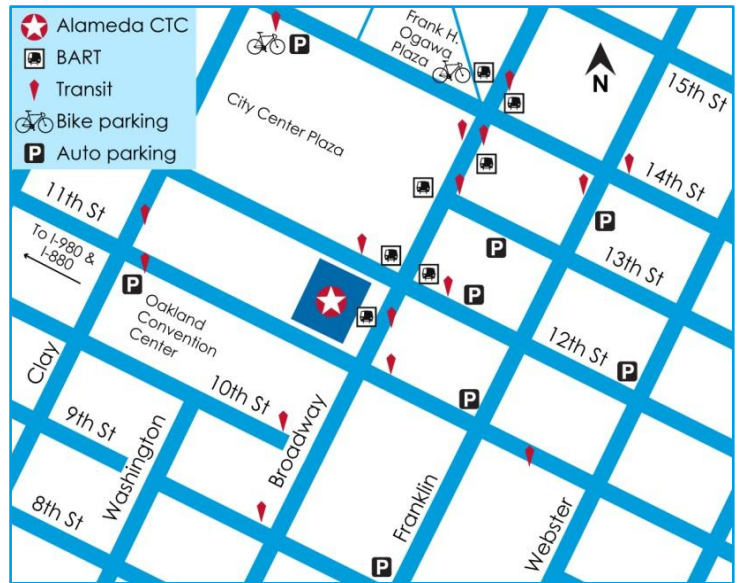
Glossary of Acronyms

A glossary that includes frequently used acronyms is available on the Alameda CTC website at www.AlamedaCTC.org/app_pages/view/8081.

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.

Accessibility

Public meetings at Alameda CTC are wheelchair accessible under the Americans with Disabilities Act. Guide and assistance dogs are welcome. Call 510-893-3347 (Voice) or 510-834-6754 (TTD) 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.

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.

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Alameda County Technical Advisory Committee Meeting Agenda

Thursday, January 9, 2014, 1:30 p.m.

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

1. Introductions/Roll Call

Chair: Arthur L. Dao, Alameda CTC Executive Director
Staff Liaison: Matt Todd, Principal Transportation Engineer
Public Meeting Coordinator: Angie Ayers

2. Public Comment

3. Administration

	Page	A/I
3.1. October 10, 2013 ACTAC Meeting Minutes Recommendation: Approve the October 10, 2013 meeting minutes.	1	A
3.2. 2013/14 Alameda County Technical Advisory Committee (ACTAC) Meeting Calendar	7	I

4. Policies and Legislation

4.1. Measure B Reauthorization Update (Verbal)		I
4.2. Legislative Update	9	I
4.3. Update on Implementation of Senate Bill 743	23	I
4.4. Active Transportation Program Update	45	I
4.5. Cap and Trade Program Update	71	I

5. Transportation Planning

5.1. Level of Service (LOS) Monitoring Study: Validation Results for Use of Commercially Available Data	81	I
5.2. Scope of Work for Development of a Countywide Multimodal Arterial Plan	91	I
5.3. Countywide Multimodal Plans Work Program Update	101	I
5.4. Plan Bay Area Implementation: Complete Streets Update (Verbal)		I

6. Programs/Projects/Monitoring

6.1. Alameda CTC At Risk Monitoring Reports Recommendation: Approve the State Transportation Improvement Program (STIP), Federal Surface Transportation/ Congestion Mitigation and Air Quality (STP/CMAQ), and Transportation for Clean Air (TFCA) At Risk monitoring reports dated December 31, 2013.	103	A
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6.2. Alameda County Federal Inactive Projects List: December 2013 Update	133	I
6.3. Countywide Bicycle and Pedestrian Advisory Committee (BPAC) Project Review Guidelines	139	I
6.4. California Transportation Commission December 2013 Meeting Summary	149	I

7. Member Reports

7.1. Metropolitan Transportation Commission Local Streets and Roads Working Group Update	153	I
7.2. Update on FY12-13 Measure B/VRF Compliance Reporting from Local Jurisdictions (Verbal)		I
7.3. Other Reports (Verbal)		I

8. Adjournment

Next Meeting: Thursday, February 6, 2014

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



Alameda County Technical Advisory Committee Fiscal Year 2013-2014

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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1. Introductions/Roll Call

2. Public Comment

There were no public comments.

3. Meeting Minutes

3.1. Approval of September 5, 2013 Minutes

Don Frascinella (Hayward) made a motion to approve the September 5, 2013 meeting minutes. Kathleen Livermore (Alameda) seconded the motion. The motion passed unanimously.

4. Congestion Management Program (CMP)

4.1. Congestion Management Program: Final 2013 Annual Conformity Requirements

Kara Vuicich stated that all cities except the City of Berkeley have provided a Deficiency Plan Status report. All cities, except Fremont and Berkeley, have also complied with the conformity requirements. Kara mentioned that staff is working with the cities to receive all requirements before the October 2013 Commission meeting.

Don Frascinella (Hayward) made a motion to request Commission approval. Donna Lee (BART) seconded the motion. The motion passed unanimously.

4.2 2013 Draft Congestion Management Program

Saravana Suthanthira gave an overview and background of the CMP. She discussed the process used to update the 2013 CMP. Saravana informed the committee that the full 2013 CMP may be viewed online at http://www.alamedactc.org/app_pages/view/5224.

She mentioned that the next steps are to request the Commission approve the CMP through a public hearing; Alameda CTC will forward the CMP to the Metropolitan Transportation Commission (MTC) to meet the November 11, 2013 deadline; and Alameda CTC will develop an implementation schedule for the next steps identified in the 2013 CMP.

Don Frascinella (Hayward) made a motion to request Commission approval through a public hearing. Angie Perkins-Haslam (LAVTA) seconded the motion. The motion passed unanimously.

5. Action Items

5.1. Measure B/Vehicle Registration Fee (VRF) Compliance Reserve Policies and Monitoring Procedures

Arthur L. Dao mentioned that Alameda CTC created new policies and monitoring procedures for the Master Program Funding Agreements to address concerns from the Citizens Watchdog Committee (CWC) and the Commission. He explained how the CWC reviews the Measure B expenditures related to the programs. Matt Todd gave a presentation on the Alameda CTC annual compliance reporting process that documents 2000 Measure B and VRF local distribution programs.

Matt Nichols (Berkeley) made a motion to request Commission approval of the policies and monitoring procedures. Kathleen Livermore (Alameda) seconded the motion. The motion passed unanimously.

6. Non-action Items

6.1. Sustainable Communities Technical Assistance Program (SC-TAP) List of Applications Received

Kara Vuicich gave an update on the SC-TAP list of applications received from 10 jurisdictions, AC Transit, and the Livermore Amador Valley Transit Authority. She informed the committee that Alameda CTC received 22 applications totaling \$6 million. She mentioned that staff from Alameda CTC, MTC, and the Association of Bay Area Governments (ABAG) was reviewing the projects. A final list of projects recommended for funding will go to the Commission for approval in January 2014.

6.2. Goods Movement Collaborative and Plan Update

Tess Lengyel gave an update on Alameda CTC Goods Movement Collaborative and Plan Development. She mentioned that Alameda CTC released a request for proposals in July and is currently negotiating with the top-ranked firm. Tess informed the committee that Alameda CTC is working with executive staff from the following partners to identify and establish the technical team, focus group stakeholders, and the Goods Movement Roundtable participants and structure.

- California Department of Transportation, District 4
- East Bay Economic Development Alliance
- MTC
- Port of Oakland

6.3. Alameda CTC Timely Use of Funds (TUF) Monitoring Reports

Jacki Taylor gave an update on the Alameda CTC TUF Monitoring Reports for projects programmed by the following entities:

- State Transportation Improvement Program
- Federal Surface Transportation/Congestion Mitigation and Air Quality
- Transportation for Clean Air County Program Manager

6.4. Plan Bay Area Implementation/Priority Development Area Status Update

Kara Vuicich gave a status update on Plan Bay Area. She noted that Plan Bay Area was adopted by ABAG and MTC in July 2013. Kara informed the committee to view

the September 19, 2013 meeting agenda and notes on the ABAG website. She mentioned that ABAG distributed the framework to jurisdictions via Basecamp.

6.5. Transportation Expenditure Plan Update

Tess Lengyel gave an update on the Transportation Expenditure Plan (TEP). She stated that the TEP Ad Hoc Committee met in September and discussed focus groups and polling. She stated that a recommendation was made and approved at the September 24, 2013 Commission meeting to have a 30-year sunset date and to create a TEP Steering Committee to determine if it's feasible to place the TEP on the November 2014 ballot and to review the 2012 TEP.

6.6. Alameda County Federal Inactive Projects List: September 2013 Update

Vivek Bhat encouraged the committee to review the federal inactive list in the packet. He requested the members to verify their projects via the website listed on page 61 in the agenda packet.

6.7 Metropolitan Transportation Commission's (MTC) Local Streets and Roads Working Group (LSRWG)

Vivek Bhat provided an update on the September LSRWG meeting.

6.8 Call for Projects: MTC's Pavement Management Technical Assistance Program, Round 15 (P-TAP 15)

Vivek Bhat informed the committee that MTC is expecting applications for Round 15 projects by October 21, 2013. He noted that for jurisdictions to be eligible to receive funding, their Pavement Management Program components must be up to date.

6.9 The Bay Area Air Quality Management District (Air District) Bicycle Rack Voucher Project (BRVP) Program Call for Projects

Jacki Taylor stated that the Air District released the BRVP call for projects the week of October 4, 2013. She informed the committee that applications will be processed on a first-come, first-served basis. Jacki reviewed highlights of the BRVP program.

6.10 2013/14 Alameda County Technical Advisory Committee (ACTAC) Meeting Calendar

Matt Todd discussed and requested feedback on future ACTAC meeting dates. He stated that staff is recommending the meeting date change to the Thursday before the standing committees that meet on the second Monday of the month. Staff informed the committee that they will distribute a survey to allow Alameda CTC to determine the best date/time based on committee feedback.

7. Legislation

7.1. Legislative Positions and Update

Tess Lengyel updated the committee on state and federal initiatives as well as on the Alameda CTC Legislative Program. Tess reviewed legislative concepts in the program and stated that staff worked with partner agencies and local jurisdictions to develop the program. She explained that the program has five categories plus a new recommended goods movement category.

8. Staff and Committee Member Reports

Tess Lengyel requested the committee review the Bay Area Commuter Benefits Program Workshop Notice handout. She informed the committee that Alameda CTC will forward the flyer to members via email.

Matt Nichols with the City of Berkeley informed the committee that on October 15th, the City of Berkeley will launch the goBerkeley pilot program.

Donna Lee with BART mentioned that BART will hold additional events for patrons to view and provide comments on the new BART seats. She also informed the committee to visit the BART.gov website for updates on the BART strike.

Nathan Landau with AC Transit stated that AC Transit is working on a strike contingency plan for if BART strikes. He also informed the committee that AC Transit is proposing a series of fare changes such as:

- Eliminate transfers and replace them with a day pass
- Adjust pass prices
- Offer discounts on Clipper fares

9. Adjournment and Next Meeting

The meeting adjourned at 3:20 p.m. The next meeting is:

Date/Time: Thursday, January 9, 2014 at 1:30 p.m.

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

Attested by:



Angie Ayers,
Public Meeting Coordinator



ALAMEDA COUNTY TECHNICAL ADVISORY COMMITTEE

October 10, 2013

ROSTER OF MEETING ATTENDANCE

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NAME	JURISDICTION/ ORGANIZATION	PHONE #	E-MAIL
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Memorandum

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DATE: January 6, 2014

SUBJECT: 2013/14 Alameda County Technical Advisory Committee (ACTAC) Meeting Calendar

RECOMMENDATION: Receive an update on the 2013/14 ACTAC meeting calendar

Summary

The ACTAC meeting dates for the remainder of FY 2013/14 are detailed in the table below.

2013/14 ACTAC Meeting Dates
February 6, 2014
March 6, 2014
April 10, 2014
May 8, 2014
June 5, 2014

Fiscal Impact: There is no fiscal impact.

Staff Contact

[Matt Todd](#), Principal Transportation Engineer

[Vivek Bhat](#), Senior Transportation Engineer

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Memorandum

4.2

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Legislative Update

RECOMMENDATION: Receive an update on state and federal legislative activities

Summary

This memo provides an update on federal, state and local legislative activities including an update on the federal budget, federal transportation issues, legislative activities and policies at the state level, as well as an update on local legislative activities.

Alameda CTC's legislative program was approved in December 2014 establishing legislative priorities for 2014 and is included in summary format in Attachment A. The 2014 Legislative Program is divided into six sections: Transportation Funding, Project Delivery, Multi-Modal Transportation and Land Use, Climate Change, Goods Movement and Partnerships. The program was designed to be broad and flexible to allow Alameda CTC the opportunity to pursue legislative and administrative opportunities that may arise during the year, and to respond to political processes in Sacramento and Washington, DC. Each month, staff brings updates to the Commission on legislative issues related to the adopted legislative program, including recommended positions on bills as well as legislative updates.

Background

Federal Update

The following updates provide information on activities and issues at the federal level and include information contributed from Alameda CTC's lobbyist team (CJ Lake/Len Simon).

Overview

A brief retrospective of 2013:

- Barack Obama was re-elected as President of the United States and the Democrats and Republicans retained control of the Senate and House respectively.

- The first session of the 113th Congress began with the seating of 84 freshmen in the House (including 14 from California) and 12 freshmen in the Senate on January 3, 2013.
- In early January, Congress addresses short-term agreement to deal with the “fiscal cliff.”
- In March 2013, sequestration went into effect because Congress was unable to reach an agreement on how to avert it. This resulted in across the board cuts to defense and non-defense programs.
- In April 2013, President’s budget released three month after regular release since the Office of Management and Budget was waiting for deals to be made on fiscal cliff issues.
- In the ensuing months, the House and Senate passed very different budgets, over \$90 billion apart.
- In October 2013, the government shuts down for 17 days due to lack of a budget.
- In December 2013, a special Budget Conference Committee approved a small deal that set a budget for both FY14 and FY15.

More detail is included below, including some prospective actions on transportation in 2014.

Budget

In October of 2013, the Congress could not reach agreement on spending levels for FY 2014 and a partial federal government shutdown resulted. The shutdown lasted from October 1-16, 2013. On October 16, the Congress passed, and the President signed, a continuing resolution to fund the government at sequestration levels through January 15, 2014. In addition, the agreement produced a budget conference committee with a self-imposed deadline of December 13, 2014 to produce a budget deal of some kind. Part of the support for this shutdown came from Republicans who wanted to stop the implementation of the Patient Protection and Affordable Care Act (PPACA) which went into effect on October 1, 2013.

In the second week of December, the House and Senate budget conference produced an agreement on federal government spending levels for FY14-15. The agreement produced total spending levels of \$1.012 trillion for FY 14 and \$1.0136 trillion for FY15. The House and Senate Appropriations Committees will use these top-line numbers and new budget caps to draft the 12 different appropriations bills that will ultimately assign funding to departments and agencies of the federal government. The bills for FY14 are expected to be ready by the January 15th deadline. The House passed the budget deal on December 12th by a vote of 332-94 and the Senate passed the bill by a vote of 64-36 on December 18th.

Transportation

In the past year, the House and Senate Committees with jurisdiction over transportation policy have held a variety of hearings and special panel meetings on the future of the Highway Trust Fund; the implementation of MAP-21, transportation financing (gas tax reform, Public-Private Partnerships); and WRDA authorization. The House Special Panel on 21st Century Freight Transportation produced its recommendations on the new surface transportation bill when MAP-21 expires on September 30, 2014. This year also saw a change in the Secretary of Transportation from Ray LaHood (R-IL) to Anthony Foxx (D-NC). Below is the summary of activity for the year.

House Transportation and Infrastructure Special Panel on 21st Century Freight Transportation Recommendations (October 2013)

- Direct the Secretary of Transportation, in coordination with the Secretary of the Army and the Commandant of the U.S. Coast Guard, to establish a comprehensive national freight transportation policy and designate a national, multimodal freight network;
- Ensure robust public investment in all modes of transportation on which freight movement relies, and incentivize additional private investment in freight transportation facilities, to maintain and improve the condition and performance of the freight transportation network;
- Promote and expedite the development and delivery of projects and activities that improve and facilitate the efficient movement of goods;
- Authorize dedicated, sustainable funding for multimodal freight Projects of National and Regional Significance through a grant process and establish clear benchmarks for project selection. Projects eligible for such funding would have a regional or national impact on the overall performance of the multimodal freight network identified by the Secretary of Transportation;
- Direct the Secretary of Transportation, in coordination with the Secretary of the Treasury and the Secretary of the Army, to identify and recommend sustainable sources of revenue across all modes of transportation that would provide the necessary investment in the Nation's multimodal freight network and align contributions with use of, and expected benefit of increased investment in, such network; and
- Review, working through the Committee on Transportation and Infrastructure and the Committee on Ways and Means, the Secretary's freight funding and revenue recommendations and develop specific funding and revenue options for freight transportation projects prior to Congress' consideration of the surface transportation reauthorization bill in 2014.

Highway Trust Fund Sustainability

Discussions among Senate Environment and Public Works (EPW) Committee Chairman Barbara Boxer and Senator Patty Murray have focused on the need for any budget negotiations to provide full funding for the Highway Trust Fund (HTF). It is expected that the EPW Committee will be looking to the Senate Finance Committee and the House Ways and Means Committee to address solvency of the HTF, including potentially considering changing the current tax system from a retail tax on gasoline (tax at the pump) to a wholesale tax on gasoline (sales tax on refineries). Senator Boxer has noted that she would like to wait until the Finance Committee resolves the issue of transportation funding before marking up any MAP-21 reauthorization legislation.

Gas Tax Bills

On December 4, Congressman Earl Blumenauer (D-OR) introduced two bills H.R. 3636, the Update, Promote, and Develop America's Transportation Essentials (UPDATE) Act; and H.R. 3638, the Road Usage Fee Pilot Program Act of 2013 which would reform transportation funding. H.R. 3636 would raise the gas tax to 33.4 cents per gallon, nearly double the current rate of 18.4 cents, over the next few years. H.R. 3636 would also peg the tax rate to inflation so that its purchasing power doesn't decline over time.

The other bill, H.R. 3638, would let states look into charging drivers by the mile (vehicle miles travelled, VMT) by expanding a pilot program started in Blumenauer's home state of Oregon. The program would be voluntary and allow states to choose how exactly to test the concept of charging for road use.

Currently there are no co-sponsors on either bill (Democrat or Republican) but there is tacit support from some Republican members suggesting that there is more support for the measures than is widely reported. There has been no mention of a hearing on either bill yet, however, this may be considered as part of tax reform in the next session of Congress.

Pre Tax Transit Benefit

The transit commuter benefit is an employer-provided federal tax benefit that allows employees to save money on their daily commute by paying for their transit expenses with pre-tax dollars.

On January 1, 2013 when the American Taxpayer Relief Act of 2012 was signed into law, the maximum monthly excludable amount ("cap") of the transit portion of the commuter benefit was restored to the same level as the benefit for parking, to \$245 per month.

The increase in the *transit* portion of the commuter benefit is only temporary - it reverted to \$130 on January 1, 2014, because Congress was not able to enact new legislation to make the increase permanent or extend it for an additional period of time. In

comparison, the monthly limit for the *parking* portion of the commuter benefit, which also increased to \$245, is a *permanent* part of the tax code and increased on January 1, 2014 to \$250. The disparity between the two benefits is higher than any previous years. It is expected that some type of temporary fix could be included in a larger tax extenders package next year, as has happened in previous years.

Legislation was introduced earlier this year that would create permanent parity between the parking and transit/vanpool portions of the commuter benefit. In the House, Congressman Michael Grimm (R-NY) was joined by Congressman Jim McGovern (D-MA), Congressman Peter King (R-NY) and Congressman Earl Blumenauer (D-OR) in introducing H.R. 2288, the Commuter Parity Act. The Senate bill, S. 1116, the Commuter Benefits Equity Act, was introduced by Senator Charles Schumer (D-NY).

Further, current transportation policy (MAP-21) expires on September 30, 2014. While both the House and Senate are looking at re-authorization and issues with respect to financing moving forward they are at odds over the scope of a transportation policy re-authorization. The House would like to see a more expansive bill with policy changes while the Senate is interested in a simple bill that addresses financing, arguing that there is not a need for further policy changes.

State Update

The following update provides information on activities and issues at the state level and includes information contributed from Alameda CTC's state lobbyist, Platinum Advisors.

The State Legislature finished the first year of the 2013-14 session in mid-September and returns to Sacramento on January 6th.

Budget

Urging careful consideration by the Legislature before making new budgetary commitments, the Legislative Analyst released his fiscal forecast. The forecast assumes the continued growth in the economy as well as maintaining the State's current policies. Should the State's economy continue as expected, California would end 2014-15 with a \$5.6 billion reserve.

The revenue gains projected by the LAO are largely from increased personal income tax revenue, which includes volatile capital gains tax revenue. A statistic in the LAO's report is that personal income tax revenues will comprise 66.3% of all general fund revenue in 2014-15. The LAO points out that despite what appear to be strong numbers now, an economic downturn could immediately reverse the improving financial picture.

- 2012-13 – The LAO estimates that last fiscal year closed with \$1.65 billion more revenue than originally estimated. This bump is due primarily to higher income tax collections compared to the Budget Act. Because of the way the Proposition 98

guarantee was calculated, \$1.75 billion additional would go to schools leaving a \$234 million reserve. The Budget Act assumed a \$254 million reserve.

- 2013-14 – The Budget Act assumes a \$1.1 billion reserve, which the LAO believes, has increased to \$2.4 billion. Higher capital gains pushed income tax revenue up \$4.7 billion. Proposition 98 will take \$3.1 billion of this jump, and other spending will consume about \$300 million.
- 2014-15 - As compared to the Budget Act forecast, the LAO is now forecasting \$5.8 billion in higher revenue, \$3.3 billion in higher Proposition 98 spending, and \$1.5 billion in other spending on obligations such as debt service, health, and human services. This would leave an operating surplus of \$3.2 billion.

Given the volatility of income taxes, the still shaky economy, and the eventual end of the Proposition 30 tax hikes, the LAO recommends building an \$8 billion reserve by 2016-17. The LAO also encourages prioritizing expenditures toward unfunded retirement liabilities, paying off debt to schools and community colleges, using funds toward inflationary increases of existing programs, and using a small amount of the surplus toward new programs. The additional sales tax coming into the State as a result of Proposition 30 expires at the end of 2016 and the additional personal income tax sunsets at the end of 2018. Governor Brown stated his approval of the LAO's suggestions to build a reserve and pay down debt.

Transportation Funding

The California Alliance for Jobs and Transportation California submitted an initiative proposal aimed at creating a new funding program for transportation projects in California. Title and summary of the proposed initiative is expected to be completed by January 10th. This initiative would be placed on the November 2014 ballot; however, the sponsors have not made any decisions on whether to move forward with signature gathering. They submitted this proposal in order to keep their options open.

The California Road Repair Act would phase in a 1% fee based on the value of each vehicle registered in California. The fee would not apply to commercial trucks over 10,000 pounds if the excise tax on diesel fuel is increased by at least 3 cents per gallon by July 1, 2016.

The 1% fee would be phased in over four years at which point it is estimated to generate \$2.9 billion annually. In addition, the revenue cannot be used make any interest or principle payments on bonds, therefore it creates a pay as you go program. As specified in the Coalition's press release, the revenue would be allocated as follows.

- 25% of all new revenue to all cities in California distributed on a formula allocation based on population for local street and road projects.

- 25% of all new revenue to all counties in California based on a formula allocation equal to 75% of fee-paying vehicle and 25% road miles for local street and road projects.
- 40% of all new revenue for maintenance and rehabilitation of the State Highway System. Half of these funds would be programmed for projects based on the North-South split formula, where 60% is allocated to Southern California projects, and 40% to Northern California projects. The remaining 50% would be programmed for projects based on the “highest need” statewide.
- 10% of all new revenue to public transit operators for system maintenance, rehabilitation and vehicle replacement. The funds cannot be used for operations, and the revenue would be allocated based on the current State Transit Assistance Program formula.

Policy

AB 32 Scoping Plan

On October 1, 2013, California Air Resources Board released its Discussion Draft update of the AB 32 Scoping Plan. The existing AB 32 Scoping Plan was adopted in 2008 and focused on 2020 reduction goals. The updated plan will set the path to achieve 2050 reduction goals.

The update to the AB 32 Scoping Plan allowed CARB to review and revise the 2008 Scoping Plan, and address near and long term goals for reducing greenhouse gas emissions. The update focused on the following six sectors for post-2020 GHG emission reduction strategies:

- Energy
- Transportation, Land Use, Fuels, and Infrastructure
- Agriculture
- Water
- Waste Management
- Natural and Working Lands

The updated Scoping Plan will influence the Cap & Trade expenditure plan that is anticipated to be included in the Governor’s 2014-15 budget proposal that he will release in January 2014. Alameda CTC and its partners reviewed the updated Scoping Plan and submitted a letter commenting on the draft plan which is included in Attachment B.

Cap & Trade Lawsuits

The Sacramento Superior Court has rejected two lawsuits challenging the legality of California's Cap & Trade auction. The lawsuits filed by the California Chamber of Commerce and Morning Star Packaging Company claimed AB 32 did not authorize CARB to collect auction revenues in excess of the cost to administer AB 32 programs, and the auction is an illegal tax because AB 32 was not approved by a 2/3 vote of the Legislature. The Court found that CARB does have the authority to auction emission allowances and it is not an illegal tax that violates Prop 13. CalChamber plans to appeal this decision, so continued uncertainty around how Cap & Trade funds will flow continues.

The findings in this case may put pressure on the state to repay the \$500 million in Cap & Trade auction revenue loaned to the general fund in the 2013-14 budget, and appropriate Cap & Trade funds to AB 32 programs. To determine if it is a fee and not a tax, the Court opined that the auction revenue must be used to regulate and further the goals of AB 32, and not be used as a revenue raising effort. If the state does not repay the loan and use the funds to further AB 32 then the Appeal Court may reconsider whether it is a regulatory fee. As for determining the nexus on how the auction revenue is used, the Superior Court found that "all that is required is a reasonable relationship between the charges and the covered entities' responsibility for the harmful effects of GHG emissions." The appeal will likely challenge whether this is too broad of a test.

Legislation

Legislative coordination efforts: Alameda CTC is leading and participating in many legislative efforts at the local, regional, state and federal levels, including coordinating with other agencies and partners as well as seeking grant opportunities to support transportation investments in Alameda County.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Alameda CTC 2014 Legislation Program
- B. AB 32 Scoping Plan Comment Letter

Staff Contact

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



2014 Alameda County Legislative Program

The legislative program herein supports Alameda CTC's transportation vision adopted in the 2012 Countywide Transportation Plan described below:

1111 Broadway, Suites 800
Oakland, CA 94607
(510) 208-7400
www.AlamedaCTC.org

“Alameda County will be served by a premier transportation system that supports a vibrant and livable Alameda County through a connected and integrated multimodal transportation system promoting sustainability, access, transit operations, public health and economic opportunities. Our vision recognizes the need to maintain and operate our existing transportation infrastructure and services while developing new investments that are targeted, effective, financially sound and supported by appropriate land uses. Mobility in Alameda County will be guided by transparent decision-making and measurable performance indicators. Our transportation system will be: Multimodal; Accessible, Affordable and Equitable for people of all ages, incomes, abilities and geographies; Integrated with land use patterns and local decision-making; Connected across the county, within and across the network of streets, highways and transit, bicycle and pedestrian routes; Reliable and Efficient; Cost Effective; Well Maintained; Safe; Supportive of a Healthy and Clean Environment.”

Issue	Priority	Strategy Concepts
Transportation Funding	<p>Increase transportation funding</p> <p>Protect and enhance voter-approved funding</p>	<ul style="list-style-type: none"> Support efforts to lower the two-thirds-voter threshold for voter-approved transportation measures. Support increasing the buying power of the gas tax and/or increasing transportation revenues through vehicle license fees, vehicle miles traveled or other reliable means. Support increased funding from new and/or flexible funding sources to Alameda County for operating, maintaining, restoring and improving transportation infrastructure and operations. Support efforts that protect against transportation funding diversions. Support increases in federal, state and regional funding to expedite delivery of Alameda CTC projects and programs. Support efforts that give priority funding to voter-approved measures and oppose those that negatively affect the ability to implement voter-approved measures. Support rewarding Self-Help Counties and states that provide significant transportation funding into transportation systems. Seek, acquire and implement grants to advance project and program delivery. Support Alameda County as the recipient of funds to implement grants and pilot programs
Project Delivery	<p>Advance innovative project delivery</p> <p>Ensure cost-effective project delivery</p>	<ul style="list-style-type: none"> Support environmental streamlining and expedited project delivery. Support contracting flexibility and innovative project delivery methods. Support HOT lane expansion in Alameda County and the Bay Area, and efforts that promote effective implementation. Support efforts to allow local agencies to advertise, award and administer state highway system contracts largely funded by locals Support efforts that reduce project and program implementation costs by reducing or eliminating the requirements for state or other agency reimbursements to implement projects on state/regional systems. Support accelerating funding and policies to implement transportation projects that create jobs and economic growth
Multimodal Transportation and Land Use	<p>Reduce barriers to the implementation of transportation and land use investments</p> <p>Expand multimodal systems and flexibility</p>	<ul style="list-style-type: none"> Support legislation that increases flexibility and reduces technical and funding barriers to investments linking transportation, housing and jobs. Support local flexibility and decision-making on land-use for transit oriented development and priority development areas. Support innovative financing opportunities to fund TOD and PDA implementation Support policies that provide increased flexibility for transportation service delivery through innovative, flexible programs that address the needs of commuters, youth, seniors, people with disabilities and low-income people and do not create unfunded mandates. Support investments in transportation for transit-dependent communities that provide enhanced access to goods, services, jobs and education. Support parity in pre-tax fringe benefits for public transit/vanpooling and parking.

Issue	Priority	Strategy Concepts
Climate Change	<p>Support climate change legislation</p> <p>Support cap-and-trade expenditure plan</p> <p>Support emerging technologies</p>	<ul style="list-style-type: none"> • Support funding for innovative infrastructure, operations, and programs that relieve congestion, improve air quality, reduce emissions and support economic development. • Support the expansion of funding for housing that does not conflict with or reduce transportation funding • Support cap and trade funds derived from transportation fuels for transportation purposes. • Support incentives for emerging technologies, such as alternative fuels and fueling technology, and research for transportation opportunities to reduce GHG emissions.
Goods Movement	Expand goods movement funding and policy development	<ul style="list-style-type: none"> • Support a multi-modal goods movement system and efforts that enhance the economy, local communities and the environment, and reduce impacts. • Support a designated funding stream for goods movement. • Support goods movement policies that enhance Bay Area goods movement planning, funding, delivery, and advocacy. • Ensure that Bay Area transportation systems are included in and prioritized in state and federal planning and funding processes.
Partnerships	Expand partnerships at the local, regional, state and federal levels	<ul style="list-style-type: none"> • Support efforts that encourage regional cooperation and coordination to develop, promote and fund solutions to regional transportation problems and that support governmental efficiencies and cost savings in transportation. • Support policy development to influence transportation planning, policy and funding at the county, regional, state and federal levels. • Support efforts to maintain and expand local-, women-, minority- and small-business participation in competing for contracts.



TRANSMITTED ELECTRONICALLY

November 1, 2013

Mary Nichols
California Air Resources Board
Address
Sacramento, CA 95814

Re: Bay Area Congestion Management Association Comments on Draft Scoping Plan Update (2013)

Dear Ms. Nichols

Thank you for the opportunity to comment on CARB's first update of the AB 32 Scoping Plan, *Discussion Draft Scoping Plan Update* ("Plan Update"). The Bay Area Congestion Management Agency (CMA) Association represents the nine county transportation agencies (sales tax authorities and congestion management agencies) that are investing in projects and programs that create accessible, convenient, equitable and sustainable transportation to move people and goods, spur economic growth and enrich communities. The nine Bay Area CMAs plan, fund and deliver almost \$1 billion each year for projects and programs that support the Bay Area's economy and help move over 7 million people each day. We are also responsible for assisting with the implementation of the Bay Area's Sustainable Communities Strategy (SCS) that supports implementation of SB 375.

The Bay Area CMA Association supports the discussion draft recommendations for a plan that supports multimodal investments and advanced technologies in passenger and freight systems. Our long-range plans similarly support multimodal systems to address the transportation needs of Bay Area travelers and we are embarking on efforts to address regional goods movement needs and priorities. Toward these efforts, the Bay Area CMA Association makes the following overall comments on the *Plan Update* with the goal of reducing GHG emissions from transportation:

Ensure that there is significant funding that can be used now to implement transportation investments that reduce GHG emissions. The *Plan Update's* key recommendations for transportation focus on planning, changes to funding and market strategies and new regulations. These priorities support investments that expand clean passenger and freight technologies and equipment, low carbon fuels, and implementation of adopted SCSs. As the largest contributor to GHG emissions, the transportation sector has the highest requirement for GHG reductions, per Governor Brown's Executive Order [Executive Order B-16-2012](#), which specifically requires an 80 percent GHG reduction.

For the transportation industry to achieve its GHG reduction target, significant and reliable funding sources are needed now to move the Bay Area SCS from a plan into implementation. The strategies included in the SCS will result in long-term shifts in travel and land use patterns, but require an up-front investment in infrastructure and development incentives to realize their GHG emission reductions.

Without a significant commitment of funds this work cannot be implemented in a timely way to support the GHG reduction timelines and targets.

Direct significant Cap and Trade revenues to transportation investments that reduce GHG emissions

The State's new Cap and Trade program represents one of the most promising opportunities for investing in transportation strategies that support GHG reductions. Although the State has not yet allocated Cap and Trade funds, efforts are underway to define the program's allocation plan. While several sales have already been conducted, generating around \$1 billion to date, overall Cap and Trade revenues are expected to significantly increase in 2015 when transportation fuels are included in the program.

Given that the transportation sector accounts for 40% of State GHG emissions, the Bay Area CMA Association supports directing at least 40% of Cap and Trade revenues to transportation investments. Additionally, starting in 2015 the Bay Area CMA Association supports CARB working with the California State Transportation Agency and other regional and local transportation agencies to direct the additional revenues generated from transportation fuels to investments in the transportation sector. Directing fuel-based revenue to transportation programs that achieve GHG reductions will fulfill AB 32 goals and provide a "user fee" link between increased fuel prices and transportation investments that benefit those paying.

Support the successful planning and investment strategies developed and delivered by the regions and local agencies.

The nine Bay Area CMAs deliver almost \$1 billion each year for projects and programs that support the Bay Area's economy and mobility and reduce GHG emissions through cutting-edge transportation efforts such as:

- Bicycle and pedestrian infrastructure and programs
- Clean fuels and new technologies
- Express bus service
- Highway/roadway improvements to reduce congestion and support goods movement
- Mass transit operations and capital investments
- Transportation Demand Management programs
- Transit oriented development
- Senior and disabled transportation

Bay Area voters have approved local transportation measures that fund these investments. We are held accountable to strict delivery timelines through open and public processes and we report regularly to the public on how funds are expended. This accountability has resulted in significant investments that reduce congestion, improve access and efficiencies, and create safe, efficient and clean transportation systems. Recognizing and rewarding the efficiency and effectiveness of our delivery processes by directing funds and administration authority to regions and local agencies will enable the State to advance its GHG reduction goals.

In addition, the Bay Area CMA Association appreciates your acknowledgement of the local leadership needed in cities and counties to make the land use, infrastructure, and operations decisions that change the planning and implementation of our transportation systems. A continued recognition of local agencies' hard work and ongoing engagement in the GHG reduction efforts are essential for the State meet its goals.

Administer funding for transportation's GHG reduction program at the regional level.

The Bay Area CMA Association appreciates CARB's recognition of regional planning and local leadership in development of SCSs and the importance of supporting efforts both locally and regionally to implement these plans. In keeping with this key recommendation in the *Plan Update*, we recommend that CARB support that state funding for GHG reductions related to SCS implementation be administered at the regional level.

The Bay Area CMA Association appreciates your efforts on the AB 32 Scoping Plan Update, which will greatly influence transportation, fuels, and infrastructure in California and change the way we perceive and address energy efficiency, waste, water, and agriculture, as well as protect our natural resources and enrich communities throughout California. We see investment in the transportation sector as a key strategy to meet the State's ambitious GHG reduction goals.

Thank you for the opportunity to comment on the Draft Scoping Plan Update.

Sincerely,

Daryl Halls
Bay Area CMA Association Chair

cc.
Bay Area CMA Executive Directors
Steve Heminger, MTC Executive Director
Ezra Rapport, ABAG Executive Director

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Memorandum

4.3

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

DATE: January 6, 2013

SUBJECT: Update on Implementation of Senate Bill 743

RECOMMENDATION: Receive an update on implementation of Senate Bill 743 and proposed changes to metrics for transportation analysis in the CEQA Guidelines.

Summary

As directed by Senate Bill (SB) 743 (Steinberg, 2013), the Governor's Office of Planning and Research (OPR) is developing an update to the California Environmental Quality Act (CEQA) Guidelines that will eliminate level of service (LOS) as a metric for the assessment of transportation impacts under CEQA in transit priority areas and may eliminate LOS as a transportation analysis metric in other areas as well. Local general plan, specific plan or zoning code requirements that require LOS analysis for development projects will be unaffected by this change. Attachment A provides a summary of SB 743, and Attachment B summarizes the changes required by SB 743 for CEQA transportation analysis. Attachment C is OPR's "Preliminary Evaluation of Alternative Methods of Transportation Analysis" and was released for public review on December 30, 2013.

The Alameda CTC has convened a Bay Area working group to provide preliminary input to OPR as they develop the new CEQA guidelines. OPR has also convened a statewide working group on which Alameda CTC staff is participating and is also conducting preliminary meetings with stakeholders in other parts of the state.

SB 743 requires OPR to circulate a draft revision to the CEQA guidelines no later than July 1, 2014. Alameda CTC anticipates reconvening the Bay Area working group in February 2014 and will bring regular updates and analysis on this subject to ACTAC for review and discussion.

Background

Governor Brown signed [Senate Bill 743 \(Steinberg, 2013\)](#) in September 2013, which made several changes to the California Environmental Quality Act (CEQA) for projects located in areas served by transit (i.e. transit-oriented development or TOD). Those changes directed the Governor's Office of Planning and Research to develop a new approach for analyzing transportation impacts of proposed projects under CEQA. SB 743 also created a new exemption for certain projects that are consistent with a specific plan and in some

circumstances it eliminates the need to evaluate aesthetic and parking impacts of a project.

The bill also revises the definition of an “infill opportunity zone” in the government code, stipulating the requirements for Congestion Management Programs (CMP), and exempts streets and highways in an infill opportunity zone from CMP level of service standards. The bill eliminates the previous sunset date for designation of infill opportunity zones and authorizes the designation of an infill opportunity zone that is a transit priority area within a Sustainable Communities Strategy or alternative planning strategy adopted by an applicable metropolitan planning organization. It also removes the requirement that an infill opportunity zone designation be terminated if no development project is completed within that zone within four years from the date of the designation.

More information about SB 743 is available from the Governor's Office of Planning and Research: http://opr.ca.gov/s_transitorienteddevelopmentsb743.php.

Fiscal Impact:

There is no fiscal impact at this time.

Attachments

- A. “Transit-Served, Urban Infill Projects Gain CEQA Benefits: SB 743 and CEQA – A Practitioner’s Summary,” September 2013, Ascent Environmental
- B. Summary of Transportation Analysis Changes in Senate Bill 743 from the Office of Planning and Research
- C. “Preliminary Evaluation of Alternative Methods of Transportation Analysis,” Governor’s Office of Planning and Research, December 30, 2013

Staff Contacts

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

[Kara Vuicich](#), Senior Transportation Planner

Transit-Served, Urban Infill Projects Gain CEQA Benefits

SB 743 and CEQA - A Practitioner's Summary September 2013

Some media and internet opinion pieces have expressed disappointment about the outcome of this year's round of CEQA "modernization" efforts. The primary CEQA bill that emerged from the process appeared, at first anyway, to be focused only on creating special procedures for a single project, the downtown Sacramento arena.

We offer a different, more encouraging view of the outcome.

To supporters of transit-served, urban infill development, the Legislature and Governor have delivered meaningful CEQA improvements. [SB 743](#), introduced by Senate Pro Tem Darrel Steinberg, was approved by the Legislature at the end of session and signed into law by Governor Brown. While originally drafted to streamline CEQA for Sacramento's downtown arena, it also became a vehicle for providing opportunities to ease the path of qualifying urban infill development near major transit stops in metropolitan regions statewide and, perhaps, provided some guideposts for future CEQA enhancements.

Although time will tell, from an environmental practitioner's perspective, SB 743's approach to CEQA streamlining of transit-served, urban infill projects may be the most practical and useful one enacted to date, especially where Sustainable Communities Strategies (SCS) have been adopted that meet greenhouse gas (GHG) reduction targets, pursuant to 2008's SB 375 (also introduced by Senator Steinberg).

CEQA Enhancements for Qualifying Urban Infill Projects

The CEQA changes in SB 743 are focused on either (1) transit-oriented infill projects, which are projects that consist of a residential use, mixed use, or commercially zoned employment center use (with a floor area ratio of at least 0.75) and that are located on an infill site within a transit priority area, or (2) for certain amendments, projects within a transit priority area in general. The bill does not alter CEQA for projects outside of transit priority areas (except that the Office of Planning and Research [OPR] has the discretion to develop alternative transportation impact metrics and thresholds in the CEQA guidelines – see below).

The bill offers practical definitions of "infill site" and "transit priority areas" that are not overly laden with conditions, as has been the case in some past efforts to streamline CEQA for urban infill. An infill site is defined as a lot in an urban area that has been previously developed or a vacant site where at least 75 percent of the perimeter adjoins or is separated only by an improved public right-of-way (e.g., a public street) from parcels developed with qualified urban uses. A transit priority area is the area located within ½ mile of an existing major transit stop or one planned in the Regional Transportation Plan (RTP) for implementation in the adopted Transportation Improvement Program (TIP), i.e., the near-term phase of RTP implementation. The definition of major transit stop is in existing law at CEQA Section 21064.3; it includes a rail transit station, ferry terminal served by bus or rail, and a bus stop with two or more lines that provide transit service at 15 minute intervals or better during peak commute periods.

The most interesting CEQA revisions are described below (with our commentary in italics) and presented in the following table:

- ▶ For transit-oriented infill projects, aesthetic and parking impacts are not significant effects on the environment.
This can be a big help, because both issues have been used in past CEQA lawsuits on infill projects.
- ▶ For projects in a transit priority area, OPR is required to develop CEQA guidelines revisions to establish alternative transportation thresholds of significance, recognizing the multi-modal character of urban areas and a priority to reduce GHGs. Such CEQA guidelines revisions could also apply to projects in general, although OPR is able to restrict the changes to transit priority areas. The draft guidelines must be circulated by July 1, 2014.
If they are well crafted, the alternative transportation thresholds may help reinforce the importance of multi-modal urban mobility enhancements (e.g., transit, bicycle-pedestrian facilities), rather than just roadway and intersection expansions.
- ▶ When the guidelines revisions go into effect, traffic level of service (LOS) or similar measures of vehicular capacity or traffic congestion will no longer be considered significant environmental effects for projects in a transit priority area.
The role of LOS in CEQA documents has been heavily debated in recent years.
- ▶ The most intriguing and potentially effective streamlining strategy relates to a new exemption opportunity for infill projects that meet certain qualifications (which, in this case, appear to be practical and achievable). A transit-oriented infill project can be exempt from CEQA if it is consistent with a specific plan for which an EIR was prepared, and is also consistent with the use, intensity, and policies of an SCS or APS that is certified by the Air Resources Board as meeting its GHG reduction targets. Also, in an amendment to the Government Code regarding Congestion Management Plans, a city or county may designate an “infill opportunity zone” by resolution, if it is consistent with the general plan and any applicable specific plan, and is a transit priority area within the adopted SCS or APS. This zone becomes exempt from LOS standards in the congestion management plan (allowing more flexible and multi-modal planning for mobility).
What this means is within metropolitan regions where the SCS is complete (which should be all the major metropolitan areas within a couple years), a jurisdiction can adopt a specific plan with an EIR covering development in its transit priority areas, then entirely exempt infill projects that are consistent with the specific plan from further CEQA documentation and from the need to meet LOS standards. CEQA’s existing Section 21166 applies, however, as a reasonable safety net in the event that the project features or circumstances change in a way that requires major revisions in the EIR (e.g., new or substantially more severe environmental effects).
- ▶ The bill makes it clear that lead agencies must still consider the air quality, GHG, noise, safety, and other environmental effects associated with transportation, except that parking shall not support a significant impact finding. Also, historic or cultural resources must still be considered (i.e., they are not exempted as being in the definition of “aesthetic impacts”).
While already covered in existing law, these provisions are helpful reminders that the environmental effects of transportation are still within the purview of CEQA.
- ▶ Lead agencies may adopt thresholds that are more protective of the environment.
Some argue this allows a lead agency to reinstate aesthetic and parking impacts, but at least it requires an affirmative action of adopting thresholds to do so.

Key CEQA Streamlining Opportunities in SB 743, Statutes of 2013

CEQA Amendment Provision:	Applicable to:	Qualifying Factors:
Aesthetics and parking are not significant impacts.	Transit-oriented infill projects.	<ul style="list-style-type: none"> ✓ Proposed for residential, mixed use, or employment center use (the latter, at least 0.75 FAR). ✓ Located on an infill site. ✓ Located in transit priority area, i.e., within ½ mile of a major transit stop (existing or planned for near term implementation)
Alternative transportation thresholds of significance in CEQA guidelines. Once adopted, LOS and similar vehicular capacity measures are not significant effects.	Transit priority areas (mandatory) and possibly outside these areas (at OPR's discretion)	<ul style="list-style-type: none"> ✓ Located in transit priority area, i.e., within ½ mile of a major transit stop (existing or planned for near term implementation). ✓ Depending on OPR-prepared guidelines and criteria, projects outside transit priority areas may also qualify. ✓ Alternative thresholds must prioritize multi-modal transportation and GHG reduction.
Complete CEQA exemption for qualifying infill projects	Transit-oriented infill projects	<ul style="list-style-type: none"> ✓ Proposed for residential, mixed use, or employment center use (the latter, at least 0.75 FAR). ✓ Located on an infill site. ✓ Located in transit priority area, i.e., within ½ mile of a major transit stop (existing or planned for near term implementation). ✓ Located in metropolitan planning areas where an SCS or APS has been adopted pursuant to SB 375, Statutes of 2008. ✓ Must be consistent with a specific plan for which an EIR was certified. ✓ Must be consistent with an SCS or APS that ARB has concurred will meet GHG reduction targets. ✓ Subject to the PRC Section 21166 safety net in existing law, if circumstances or project descriptions change enough to cause major EIR revisions.

SB 743 also made it clear that general plans, zoning codes, conditions of approval, thresholds, or other planning requirements may still be adopted to address any police power or other existing authority (including those related to transportation). Lead agencies may still consider aesthetics in local design review ordinances or based on other discretionary powers.

Sacramento Downtown Arena

If you are not interested in the Sacramento’s proposed downtown arena, you can stop reading here...except that some of the CEQA provisions for the arena may have broader significance, if the Legislature were to apply them to “general CEQA” in the future.

SB 743 appears to try to balance reducing the time necessary for project approval and implementation with maintaining environmental protection and public input.

Requirements for the downtown Sacramento arena are established for minimizing traffic congestion, minimizing air quality impacts, maintaining carbon neutrality, reducing vehicle miles travelled for NBA event attendees, and reducing GHG emissions. Also, various public notice, information, and comment requirements are imposed. Notably, at the start of the Draft EIR circulation period, the City must make documents on which the Draft EIR relied available to the public in a readily accessible electronic format.

In return, streamlining of the public comment and litigation processes is authorized. For instance, the City need not consider written comments submitted after the close of public comment periods, unless they apply to new information introduced by the City, new information that could not have been reasonably known, or project changes after the public comment period. Also, non-binding mediation may be requested by any commenter on the Draft EIR, which is intended to provide an opportunity to resolve disagreements and deter litigation. If CEQA litigation occurs, it must be resolved within 270 days of the date the administrative record is certified, and project construction cannot be stayed or enjoined, unless there is an imminent threat to public health or safety or important, unforeseen cultural resources are encountered and would be permanently, adversely affected.

From the practitioner’s view point, certain of these arena-specific provisions would have streamlining value without reducing public input or environmental protection, if applied to CEQA more generally. Perhaps something for the Legislature to consider next year...

If you have questions about SB 743, or other CEQA “current events,” please feel free to contact:

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Summary of Transportation Analysis Changes in Senate Bill 743

Senate Bill 743 (Steinberg, 2013) makes several changes to the California Environmental Quality Act related to the analysis of transportation impacts. Specifically, it requires a change in how “level of service” is used in transportation planning and the evaluation of transportation impacts. The relevant provisions of SB 743 are described below. **Key terms** are defined on the following page.

Level of Service in CEQA

SB 743 directs the Office of Planning and Research to develop revisions to the CEQA Guidelines that establish new criteria for determining the significance of transportation impacts by projects in **transit priority areas**. (Public Resources Code § 21099(b)(1).) These criteria must promote the reduction of greenhouse gas emissions, the development of multimodal transportation networks, and diversity of land uses. (*Id.*) The bill further grants OPR the discretion to develop such criteria for projects outside transit priority areas as well. (*Id.* at subd.(c)(1).) Both within and outside of transit priority areas, the CEQA Guidelines may specify areas where level of service remains an appropriate metric. Once the Secretary for the Natural Resources Agency certifies the new CEQA Guidelines, “**automobile delay**,” as described by level of service, volume to capacity ratio, or other measures of delay, will not be considered a significant environmental effect in those areas governed by the new criteria. (Public Resources Code § 21099(b)(2).) In other words, both inside and outside of transit priority areas, level of service will only apply, if at all, in places specifically identified in the revised CEQA Guidelines.

Level of Service in Congestion Management Law

SB 743 also makes changes to congestion management law. (Gov. Code § 65088 et seq.) Specifically, it reinstates the ability of cities and counties to designate “**infill opportunity zones**” within which level of service requirements would not apply. (*Id.* at § 65088.4.) It also removed the requirement that development occur within an infill opportunity zone within four years. (*Ibid.*) Finally, it expanded the definition of infill opportunity zone to include areas within one-half mile of a **major transit stop** or high quality transit corridor. (*Id.* at § 65088.1(e).)

Level of Service in Local General Plans or Zoning Codes

SB 743 specifically states that it “does not preclude the application of local general plan policies, zoning codes, conditions of approval, thresholds, or any other planning requirements pursuant to the police power or any other authority.” (Pub. Resources Code § 21099(b)(4).)

Key Terms

Automobile Delay refers to an effect “described solely by level of service or similar measures of vehicular capacity or traffic congestion[.]” (New Section 21099(b)(2).) Once the revised Guidelines are certified, automobile delay will generally not support a finding of significance. (*Ibid.*)

Transit Priority Area means “an area within one-half mile of a **major transit stop** that is existing or planned, if the planned stop is scheduled to be completed within the planning horizon included in a Transportation Improvement Program adopted pursuant to Section 450.216 [four years, statewide transportation improvement program] or 450.322 [twenty year, metropolitan transportation plan] of Title 23 of the Code of Federal Regulations.” (New Section 21099(a)(7).) *Within the boundaries of a metropolitan planning organization, a planned stop must be completed within twenty years. Outside the boundaries of a metropolitan planning organization, the planned stop would need to be completed within four years.*¹

Major Transit Stop means “a site containing an existing rail transit station, a ferry terminal served by either a bus or rail transit service, or the intersection of two or more major bus routes with a frequency of service interval of 15 minutes or less during the morning and afternoon peak commute periods.” (Section 21064.3.)

Infill Opportunity Zone, for purposes of congestion management law, “means a specific area designated by a city or county, pursuant to subdivision (c) of Section 65088.4, that is within one-half mile of a major transit stop or high-quality transit corridor included in a regional transportation plan. A major transit stop is as defined in Section 21064.3 of the Public Resources Code, except that, for purposes of this section, it also includes major transit stops that are included in the applicable regional transportation plan. For purposes of this section, a high-quality transit corridor means a corridor with fixed route bus service with service intervals no longer than 15 minutes during peak commute hours.” *Note, this definition is broader than a transit priority area in at least two respects. First, it includes single high-frequency bus lines. Second, planned stops include those that are within regional transportation plans in both MPO and non-MPO areas.*

¹ Though the definition of transit priority area refers to overlapping and related time horizons, the use of the disjunctive “or” suggests that the planning horizons referred to in either CFR section could be used to determine whether a planned stop will qualify as a major transit stop. While a project within a 20-year metropolitan planning organization’s regional transportation plan would also appear within a statewide transportation improvement program, in non-MPO areas, a planned stop would only appear within the 4-year statewide transportation improvement program.



EDMUND G. BROWN JR.
GOVERNOR

STATE OF CALIFORNIA
GOVERNOR'S OFFICE *of* PLANNING AND RESEARCH



KEN ALEX
DIRECTOR

Preliminary Evaluation of Alternative Methods of Transportation Analysis

December 30, 2013

As required by statute, the Governor's Office of Planning and Research is developing a new way to measure environmental impacts related to transportation. This is an opportunity both to reduce costs associated with environmental review, and, importantly, to achieve better fiscal, health and environmental outcomes. We need your help in this effort.

I. Introduction

On September 27, 2013, Governor Brown signed [Senate Bill 743](#) (Steinberg, 2013). Among other things, SB 743 creates a process to change analysis of transportation impacts under the California Environmental Quality Act (Public Resources Code section 21000 and following) (CEQA). Currently, environmental review of transportation impacts focuses on the delay that vehicles experience at intersections and on roadway segments. That delay is measured using a metric known as "level of service," or LOS. Mitigation for increased delay often involves increasing capacity (i.e. the width of a roadway or size of an intersection), which may increase auto use and emissions and discourage alternative forms of transportation. Under SB 743, the focus of transportation analysis will shift from driver delay to reduction of greenhouse gas emissions, creation of multimodal networks and promotion of a mix of land uses.

Specifically, SB 743 requires the Governor's Office of Planning and Research (OPR) to amend the CEQA Guidelines (Title 14 of the California Code of Regulations sections and following) to provide an alternative to LOS for evaluating transportation impacts. Particularly within areas served by transit, those alternative criteria must "promote the reduction of greenhouse gas emissions, the development of multimodal transportation networks, and a diversity of land uses." (New Public Resources Code Section 21099(b)(1).) Measurements of transportation impacts may include "vehicle miles traveled, vehicle miles traveled per capita, automobile trip generation rates, or automobile trips generated." (*Ibid.*) OPR also has discretion to develop alternative criteria for areas that are not served by transit, if appropriate. (*Id.* at subd. (c).)

Though a draft of the Guidelines revisions is not required until July 1, 2014, OPR is seeking early public input into its direction. This document provides background information on CEQA, the use of LOS in transportation analysis, and a summary of SB 743's requirements. Most importantly, it also contains OPR's preliminary evaluation of LOS and different alternatives to LOS. It ends with a description of open

questions and next steps. In developing a better alternative to LOS, OPR will rely heavily on input from all stakeholders. We hope that you will share your thoughts and expertise in this effort.

Input may be submitted electronically to CEQA.Guidelines@ceres.ca.gov. Please include “LOS Alternatives” in the subject line. While electronic submission is preferred, suggestions may also be mailed or hand delivered to:

Christopher Calfee, Senior Counsel
Governor’s Office of Planning and Research
1400 Tenth Street
Sacramento, CA 95814

Please submit all suggestions before **February 14, 2014 at 5:00 p.m.**

II. CEQA Background

Since SB 743 requires a change in the analysis of transportation impacts under CEQA, this section provides a brief overview of CEQA’s requirements.

CEQA generally requires public agencies to inform decision makers and the public about the potential environmental impacts of proposed projects, and to reduce those environmental impacts to the extent feasible. The rules governing that environmental analysis are contained in the Public Resources Code, in the administrative regulations known as the CEQA Guidelines, and in cases interpreting both the statute and the CEQA Guidelines.

Many projects are exempt from CEQA. Typically, however, some form of environmental analysis must be prepared. If a project subject to CEQA will not cause any adverse environmental impacts, a public agency may adopt a brief document known as a Negative Declaration. If the project may cause adverse environmental impacts, the public agency must prepare a more detailed study called an Environmental Impact Report (EIR). An EIR contains in-depth studies of potential impacts, measures to reduce or avoid those impacts, and an analysis of alternatives to the project.

The key question in an environmental analysis is whether the project will cause adverse physical changes in the environment. CEQA defines the “environment” to mean “the *physical* conditions that exist within the area which will be affected by a proposed project, including land, air, water, minerals, flora, fauna, noise, or objects of historic or aesthetic significance.” (Pub. Resources Code, § 21060.5 (emphasis added).) As this definition suggests, the focus of environmental review must be on physical changes in the environment. Generally, social and economic impacts are not considered as part of a CEQA analysis. (CEQA Guidelines, § 15131.)

Once an agency determines that an impact might cause a significant adverse change in the environment, it must consider feasible mitigation measures to lessen the impact. (Pub. Resources Code, § 21002.) Specifically, a lead agency may use its discretionary authority to change a project proposal to avoid or minimize significant effects. (CEQA Guidelines, § 15040(c).) The authority to mitigate must respect constitutional limitations, however. Mitigation measures must be related to a legitimate governmental

interest, and must be “roughly proportional” to the magnitude of the project’s impact. (CEQA Guidelines, § 15126.4(a)(4).)

III. Background on Measures of Automobile Delay

Many jurisdictions currently use “level of service” standards, volume to capacity ratios, and similar measures of automobile delay, to assess potential traffic impacts during a project’s environmental review. Level of service, commonly known as LOS, is a measure of vehicle delay at intersections and on roadway segments, and is expressed with a letter grade ranging from A to F. LOS A represents free flowing traffic, while LOS F represents congested conditions. LOS standards are often found in local general plans and congestion management plans.

Traffic has long been a consideration in CEQA. (See, e.g., *Fullerton Joint Union High School Dist. v. State Bd. of Education* (1982) 32 Cal. 3d 779, 794 (school district’s reorganization could potentially affect the environment by altering traffic patterns).) In 1990, the Legislature linked implementation of congestion management plans, including LOS requirements, with CEQA. (Gov. Code, § 65089(b)(4).) LOS has been an explicit part of CEQA analysis since at least the late 1990’s, when the sample environmental checklist in the CEQA Guidelines asked whether a project would exceed LOS standards. (See former CEQA Guidelines, App. G. § XV; see also, *Sacramento Old City Assn. v. City Council* (1991) 229 Cal. App. 3d 1011, 1033 (addressing claims of an EIR’s inadequacy related to level of service analysis).)

IV. Problems with using LOS in CEQA

Though, as explained above, LOS has been used in CEQA for many years, it has recently been criticized for working against modern state goals, such as emissions reduction, development of multimodal transportation networks, infill development, and even optimization of the roadway network for motor vehicles. The following are key problems with using LOS in CEQA:

LOS is difficult and expensive to calculate. LOS is calculated in several steps:

- First, the number of vehicle trips associated with a project must be estimated.
- Second, after estimating the number of vehicle trips generated by the project, an analysis requires assumptions about the path that those vehicles may take across the roadway network.
- Third, traffic levels must be estimated at points along the roadway network, as compared to traffic that might occur without the project.
- Fourth, microsimulation models are used to determine traffic outcomes of volume projections.

Thus, an analysis under LOS typically requires estimates of trip generation, estimates of trip distribution, conducting existing traffic counts at points along the network, and an analysis and comparison of traffic function at each point for future project and “no project” scenarios.

LOS is biased against “last in” development. Typical traffic analyses under CEQA compare future traffic volumes against LOS thresholds. A project that pushes LOS across the threshold triggers a significant impact. In already developed areas, existing traffic has already lowered LOS closer to the threshold. Because the LOS rating used to determine significance of the project’s impact is determined by total traffic (existing traffic plus traffic added by the project), infill projects disproportionately trigger LOS thresholds compared to projects in less developed areas.

LOS scale of analysis is too small. LOS is calculated for individual intersections and roadway segments. As traffic generated by a project fans out from the project, it substantially affects a few nearby intersections and roadway segments, then affects more distant intersections and roadway segments by a smaller amount. LOS impacts are typically triggered only at the nearby intersections and roadway segments where the change is greatest. Projects in newly developed areas typically generate substantially more vehicle travel than infill projects,¹ but that traffic is more dispersed by the time it reaches congested areas with intersections and roadway segments operating near the thresholds. As a result, while outlying development may contribute a greater amount of total vehicle travel and cause widespread but small increases in congestion across the roadway network, it may not trigger LOS thresholds. Further, piecemeal efforts to optimize LOS at individual intersections and roadway segments may not optimize the roadway network as a whole. Focusing on increasing vehicle flow intersection-by-intersection or segment-by-segment frequently results in congested downstream bottlenecks, in some cases even worsening overall network congestion.²

LOS mitigation is itself problematic. Mitigation for LOS impacts typically involves reducing project size or adding motor vehicle capacity. Without affecting project demand, reducing the size of a project simply transfers development, and its associated traffic, elsewhere. When infill projects are reduced in size, development may be pushed to less transportation-efficient locations, which results in greater total travel. Meanwhile, adding motor vehicle capacity may induce additional vehicle travel, which negatively impacts the environment and human health.³ It also negatively impacts other modes of transportation, lengthening pedestrian crossing distances, adding delay and risk to pedestrian travel, displacing bicycle and dedicated transit facilities, and adding delay and risk to those modes of travel.

LOS mischaracterizes transit, bicycle, and pedestrian improvements as detrimental to transportation. Tradeoffs frequently must be made between automobile convenience and the

¹ For information on the relationship between infill and compact development, and vehicle travel and GHG emissions, see [Growing Cooler, Evidence on Urban Development and Climate Change](#), September 2007.

² This phenomenon is called Braess’ Paradox. For a description, see Braess, Dietrich. 1968, translated 2005. “On a Paradox of Traffic Planning.” *Transportation Science*, 39 (4), pp. 446-450. ISSN 0041-1655. For prevalence, see Steinberg, Richard and Zangwill, Willard I. (1983) The prevalence of Braess' paradox. *Transportation science*, 17 (3). pp. 301-318. ISSN 0041-1655

³ Duranton, Gilles, and Matthew A. Turner. 2011. "The Fundamental Law of Road Congestion: Evidence from US Cities." *American Economic Review*, 101(6): 2616-52.

provision of safe and efficient facilities for users of transit and active modes. Since LOS measures the delay of motor vehicles, any improvement for other modes that might inconvenience motorists is characterized as an impediment to transportation.

Use of LOS thresholds implies false precision. Calculating LOS involves a sequence of estimates, with each step using the output of the previous step. Imprecision in an early step can be amplified throughout the sequence. While it is difficult to estimate the distribution of future trips across the network with a high level of precision, the calculation of congestion levels is highly sensitive to that estimate. Further, LOS is typically reported in environmental analyses without acknowledging potential uncertainty or error.

As a measurement of delay, LOS measures motorist convenience, but not a physical impact to the environment. Other portions of an environmental analysis will account for vehicular emissions, noise and safety impacts.

V. SB 743

SB 743 marks a shift away from auto delay as a measure of environmental impact. It does so in several ways.

First, it allows cities and counties to designate “infill opportunity zones” within which level of service requirements from congestion management plans would no longer apply. (See, SB 743, § 4 (amending Gov. Code, § 65088.4).)

Second, it requires OPR to develop criteria for determining the significance of transportation impacts of projects within transit priority areas, and further provides OPR with discretion to develop such criteria outside of transit priority areas. The Secretary for the Natural Resources Agency must then adopt the new criteria in an update to the CEQA Guidelines. (See, SB 743, § 5 (adding Pub. Resources Code § 21099).)

Third, and perhaps most importantly, once the CEQA Guidelines containing the new criteria are certified, “automobile delay, as described solely by level of service or similar measures of vehicular capacity or traffic congestion shall not be considered a significant impact on the environment pursuant to this division, except in locations specifically identified in the guidelines, if any.” (*Id.* at subd. (b)(2).)

SB 743 includes legislative intent to help guide the development of the new criteria for transportation impacts. For example, Section 1 of the bill states: “New methodologies under the California Environmental Quality Act are needed for evaluating transportation impacts that are better able to promote the state’s goals of reducing greenhouse gas emissions and traffic-related air pollution, promoting the development of a multimodal transportation system, and providing clean, efficient access to destinations.” Further, subdivision (b) of the new Section 21099 requires that the new criteria “promote the reduction of greenhouse gas emissions, the development of multimodal transportation networks, and a diversity of land uses.” It also suggests several possible alternative measures of

potential transportation impacts, including, but not limited to: “vehicle miles traveled, vehicle miles traveled per capita, automobile trip generation rates, or automobile trips generated.”

Notably, SB 743 does not limit the types of projects to which the new transportation criteria would apply. Rather, it simply authorizes the development of criteria for the “transportation impacts of projects[.]” (New § 21099(b)(1); see also subd. (c)(1) (referring only to “transportation impacts”).) The Legislature intended the new criteria to apply broadly. An early version of this provision, in SB 731, would have limited the new criteria to “transportation impacts for residential, mixed-use residential, or employment center projects [on] infill sites within transit priority areas.” (See, SB 731 (Steinberg), amended in Assembly August 6, 2013.) Therefore, OPR will investigate criteria that would apply to all project types, including land use development, transportation projects, and other relevant project types.

An earlier version of SB 731 would have limited the application of these changes by determining that automobile delay is not an environmental impact only in transit priority areas. (See, SB 731(Steinberg), amended in Assembly September 9, 2013, at § 12 (“Upon certification of the guidelines by the Secretary of the Natural Resources Agency pursuant to this section, automobile delay, as described solely by level of service or similar measures of capacity or congestion within a transit priority area, shall not support a finding of significance”) (emphasis added).) As adopted in SB 743, however, automobile delay may only be treated as an environmental impact “in locations specifically identified in the guidelines, if any.” (New § 21099(b)(2).) Further, subdivision (c) explicitly authorizes OPR to develop criteria outside of transit priority areas. Given the statement of legislative intent that new transportation metrics are needed to better promote the state’s goals, OPR intends to investigate metrics and criteria that will apply statewide.

VI. OPR Goals and Objectives in Developing Alternative Criteria

In developing alternative transportation criteria and metrics, OPR must choose metrics that “promote the reduction of greenhouse gas emissions, the development of multimodal transportation networks, and a diversity of land uses.” (New Section 21099(b)(1).) In addition to this statutory directive, OPR will also weigh other factors in evaluating different criteria. Those additional factors include:

Environmental Effect. The California Supreme Court has directed that CEQA “be interpreted in such manner as to afford the fullest possible protection to the environment within the reasonable scope of the statutory language.” (*Friends of Mammoth v. Board of Supervisors* (1972) 8 Cal. 3d 247, 259.) OPR, therefore, seeks to develop criteria that maximize environmental benefits, and minimize environmental harm.

Fiscal and Economic Effect. Our state and local governments have limited fiscal resources. The state’s planning priorities are intended to, among other things, strengthen the economy. (Gov. Code, § 65041.1.) In evaluating alternative criteria, OPR seeks criteria that will lead to efficient use of limited fiscal resources, for example by

reducing long run infrastructure maintenance costs, and to the extent relevant in the CEQA context, promotion of a stronger economy.

Equity. OPR will look for alternative criteria that treat people fairly. The state’s planning priorities are intended to promote equity. (Gov. Code, § 65041.1.) OPR seeks to develop criteria that facilitate low-cost access to destinations. Further, OPR recognizes that in its update to the General Plan Guidelines, OPR must provide planning advice regarding “the equitable distribution of new public facilities and services that increase and enhance community quality of life throughout the community, given the fiscal and legal constraints that restrict the siting of these facilities.” (Gov. Code, § 65040.12.) In addition, OPR must also provide advice on “promoting more livable communities by expanding opportunities for transit-oriented development so that residents minimize traffic and pollution impacts from traveling for purposes of work, shopping, schools, and recreation.” (*Ibid.*) Though this advice must be developed within the General Plan Guidelines, OPR recognizes that similar issues may be relevant in the context of evaluating transportation impacts under CEQA.

Health. OPR recognizes that “[h]ealthy and sustainable communities are the cornerstones of the state’s long-term goals.” (Environmental Goals and Policy Report, Discussion Draft (September 2013), at p. 26.) OPR will, therefore, look for alternative criteria that promote the health benefits associated with active transportation and that minimize adverse health outcomes associated with vehicle emissions, collisions and noise.

Simplicity. The purpose of environmental analysis is to inform the public and decision-makers of the potential adverse effects of a project. (Pub. Resources Code, § 21003(b).) Environmental documents must “be written in plain language and may use appropriate graphics so that decision makers and the public can rapidly understand the documents.” (CEQA Guidelines, § 15140.) OPR, therefore, seeks to develop criteria that are as simple and easy to understand as possible. The criteria should enable the public and other interested agencies to participate meaningfully in the environmental review process.

Consistency with Other State Policies. SB 743 included legislative intent that the alternative criteria support the state’s efforts related to greenhouse gas reduction and the development of complete streets. OPR will also be guided by the state’s planning priorities, and in particular, the promotion of infill development, as described in Government Code section 65041.1.

Access to destinations. Even as it serves and impacts many other interests, the fundamental purpose of the transportation network is to provide access to destinations for people and goods. A transportation network does this by providing mobility and supporting proximity. In growing communities, some degree of roadway congestion is

inevitable⁴; we cannot “build our way out of congestion” by adding roadway capacity because doing so induces additional vehicle travel. Therefore, accommodating better proximity of land uses and improving the overall efficiency of network performance is essential for providing and preserving access to destinations. Transit and active mode transportation options can play a key role in providing access to destinations and supporting proximity.

The objectives described above need not be the only considerations in selecting alternative criteria. In fact, OPR invites your input into these objectives. *Are these the right objectives? Are there other objectives that should be considered?*

VII. Preliminary Evaluation of the Alternative Criteria

This section provides OPR’s preliminary evaluation of the alternative metrics set forth in SB 743, as well as other metrics suggested during our initial outreach. This preliminary evaluation asks whether the alternative satisfies the objectives set forth in SB 743, as well as OPR’s own objectives described above. It also attempts to identify which mitigation measures and project alternatives might flow from use of each candidate metric. Finally, this evaluation seeks to identify the level of difficulty of using each metric, including availability of models and data required.

Vehicle Miles Traveled

Variant 1: per capita for residential, per employee for employment centers, per trip for commercial
Variant 2: per person-trip for all projects

Vehicle Miles Traveled (VMT)⁵ is one of two metrics specified by SB 743 for consideration. VMT counts the number of miles traveled by motor vehicles that are generated by or attracted to the project. VMT captures motorized trip generation rates, thereby accounting for the effects of project features and surrounds. It also captures trip length, and so can also account for regional location, which is the most important single determinant of vehicle travel. Although VMT counts only motor vehicle trips, not trips taken by other modes, it registers the benefits of transit and active transportation trips insofar as they reduce motor vehicle travel. In this way, VMT captures the environmental benefits of transit and active mode trips.

Of the metrics we consider here, VMT is relatively simple to calculate. Assessing VMT is substantially easier than assessing LOS because it does not require counting existing trips, estimating project trip distribution, or traffic microsimulation for determining congestion. Assessing VMT requires only estimates of trip generation rates and trip length, and can be readily modeled using existing tools such as the U.S. Environmental Protection Agency’s EPA’s MXD model.

⁴ Duranton, Gilles, and Matthew A. Turner. 2011. "The Fundamental Law of Road Congestion: Evidence from US Cities." *American Economic Review*, 101(6): 2616-52.

⁵ For additional information about VMT and its relationship to environmental impacts, see U.S. Environmental Protection Agency, “[Our Built and Natural Environments: A Technical Review of the Interactions Between Land Use, Transportation, and Environmental Quality](#) (2nd Edition),” June 2013.

Mitigation to reduce VMT can include designing projects with a mix of uses, building transportation demand management (TDM) features into the project, locating the project in neighborhoods that have transit or active mode transportation opportunities, or contributing to the creation of such opportunities. Since VMT is sensitive to regional location, it can also be mitigated by choosing a more central location for the project.

Used as a transportation metric under CEQA, VMT could encourage reduction of motor vehicle travel, increase transit and active mode transportation, and increase infill development.

Automobile Trips Generated

Per capita for residential, per employee for employment centers

Automobile trips generated (ATG) is one of two metrics specified by SB 743 for consideration. ATG counts the number of motor vehicle trips that are generated by or attracted to the project. ATG thereby accounts for the effects of project features and project surroundings (i.e., the availability of transit). It does not, however, account for the length of the trip, and therefore it does not account for regional location, the most important determinant of vehicle travel⁶. Although ATG counts only motor vehicle trips, not trips taken by other modes, it registers the benefits of transit and active transportation trips insofar as they reduce motor vehicle trips taken. In this way, ATG captures some of the environmental benefits of transit and active mode trips.⁷

Of all the metrics considered, ATG is the easiest to calculate. It does not require counts of existing traffic, estimation of project trip distribution, or traffic microsimulation for determining congestion. In fact, calculating ATG is simply the first step in calculating most of the other metrics, including LOS.

Mitigation for ATG can include locating a project in an area that facilitates transit or active mode transportation, such as an infill or transit oriented location, and including transportation demand management features in the project.

Used as a transportation metric under CEQA, ATG could encourage reduction of motor vehicle travel, increased active mode transportation, and increased infill development. Because it omits regional location, however, it may be less effective at achieving those ends than VMT.

Multi-Modal Level of Service

Multi-Modal Level of Service (MMLOS) is a metric of user comfort for travelers on various modes. Along with the traditional motor vehicle LOS metric, MMLOS includes additional ratings for transit, walking

⁶ Reid Ewing & Robert Cervero (2010) [Travel and the Built Environment](#), Journal of the American Planning Association, 76:3, 265-294, DOI: 10.1080/01944361003766766.

⁷ For more information on the ATG metric, see [Automobile Trips Generated: CEQA Impact Measure & Mitigation Program](#), City of San Francisco, October 2008.

and biking modes. It rates intersections and roadway segments, delivering an A through F grade for each mode at each location. However, like LOS, MMLOS does not account for the total extent of motor vehicle travel, just its effect near the project. It also does not examine the transportation system on the scale of an entire trip length for other modes. The most commonly used MMLOS methodology is that put forth by the 2010 Highway Capacity Manual.

Assessing MMLOS requires detailed data on existing conditions for each mode of travel at intersections and roadway segments analyzed, plus trip generation and distribution by mode from the project. MMLOS is more difficult to calculate than LOS. Further, the methodology for non-motorized modes continues to develop. MMLOS is the subject of expert debate. For example, increased pedestrian traffic may be a desirable environmental outcome rather than an impact to be mitigated. Meanwhile, reducing the number of motor vehicle lanes on a street with bicycle lanes can benefit cyclists, but can degrade MMLOS under the Highway Capacity Manual's methodology.

Impacts determined by MMLOS can be mitigated by adding motor vehicle capacity, improving transit service, and/or adding amenities for transit and active mode travelers. Since transportation facilities near infill projects often already support a variety of modes, projects in these locations may require more mitigation than projects further from these amenities, potentially discouraging infill development.

MMLOS could act either to increase or reduce motor vehicle travel, depending on the relative weight of ratings between modes. It could encourage development of transit and active mode facilities, potentially increasing use of those modes. However, because it would assign the burden of those mitigations to development, it has the potential to raise infill costs and thereby reduce infill development.

Fuel Use

Per capita for residential, per employee for employment centers, per trip for commercial

Fuel use counts the amount of fuel used by vehicle trips generated by or attracted to the project. In doing so, it captures motorized trip generation rates, thereby accounting for the effects of project features and surrounds. It also captures trip length, and so can also account for regional location, which is the most important single determinant of vehicle travel. Finally, it also captures fuel efficiency, which is affected by vehicle mix and traffic conditions. Although fuel use counts only motor vehicle trips, not trips taken by other modes, it registers the benefits of trips taken by other modes insofar as they reduce motor vehicle travel. In this way, Fuel Use captures the environmental benefits of transit and active mode trips.

Assessing Fuel Use with precision would require the application of microsimulation tools over the area affected by project motorized vehicle traffic. Alternately, a fuel efficiency multiplier could be applied to VMT, but that would eliminate sensitivity to roadway operations, rendering this metric equivalent to the VMT metric.

Mitigation for Fuel Use can include building in transportation demand management (TDM) features as part of the project, locating the project in neighborhoods that supply transit or active mode transportation opportunities. Also, because Fuel Use traces the full extent of motor vehicle trips and therefore is sensitive to regional location, it can also be mitigated by choosing a more central location for the project. Mitigation measures for Fuel Use might also include improving motor vehicle traffic operations and speeds. However, to the extent that these mitigation measures would induce demand, they would lose effectiveness. In the coming years, fuel efficiency improvements will necessitate shifting thresholds, and zero emissions vehicles could eventually render the metric irrelevant. Also, permeation of electric-drive vehicles with regenerative braking reduces the effect of traffic operations improvements on fuel use.

Used as a transportation metric under CEQA, Fuel Use would act to reduce motor vehicle travel, except where transportation operations improvements or capacity expansions induce more travel in the long run. It would tend to increase transit and active mode transportation, although it could penalize their operation if they have a negative effect on motor vehicle traffic operations. Finally, it would tend to increase infill development, with the same caveats.

Motor Vehicle Hours Traveled

Per capita for residential, per employee for employment centers, per trip for commercial

Motor Vehicle Hours Traveled (VHT) counts the time taken by motor vehicle trips generated by or attracted to the project. In doing so, it captures motorized trip generation rates, thereby accounting for the effects of project features and project surroundings. It also captures trip length, and so can account for regional location, which is the most important single determinant of vehicle travel. Finally, it also captures travel time, which is affected by traffic conditions. Although VHT counts only motor vehicle trips, not trips taken by other modes, it registers the benefits of trips taken by other modes insofar as they reduce motor vehicle travel. In this way, VHT captures the environmental benefits of transit and active mode trips.

Assessing VHT with precision would require the application of more sophisticated modeling tools than those needed to assess VMT. In some areas, those tools may not be available or data might not be available to support them.

Mitigation for VHT can include building in transportation demand management (TDM) features as part of the project, locating the project in neighborhoods that supply transit, or active mode transportation opportunities. Because VHT traces the full extent of motor vehicle trips and therefore is sensitive to regional location, it can also be mitigated by choosing a more central location for the project. In the near term, VHT could be mitigated by increasing travel speeds, e.g. by increasing vehicle capacity. In the long run, however, increased travel speeds generate additional vehicle travel, eventually re-congesting the roadway and congesting traffic. Increased vehicle speeds may also adversely affect bicycle and pedestrian travel.

As a metric, VHT could act to reduce motor vehicle travel, except if it were used to justify roadway expansion to create short-run benefit without considering long-run induced demand. VHT would in many cases tend to increase transit and active mode transportation, although it would penalize their operation if they have a negative effect on traffic operations. Finally, in some cases VHT would remove a barrier to infill development, although mitigation measures that increase roadway capacity could have the opposite effect.

Presumption of Less Than Significant Transportation Impact Based on Location

Development in centrally-located areas and areas served by transit generally impacts the regional transportation network substantially less than outlying development. Given the lower motor vehicle trip generation rates and shorter trip distances that have been shown for projects in such areas compared with projects elsewhere, project location could serve as predetermined “transportation-beneficial development” areas. Such areas might be presumed to cause less than significant regional transportation impacts. These areas could be mapped so as to be easily identified. Projects outside of such areas may require additional analysis, and mitigation if necessary, using one of the metrics described above.

VIII. Open questions and next steps

The discussion above described OPR’s initial impressions of several suggested transportation metrics. Many open questions remain at this point. Some of those open questions, as well as next steps, are set forth below.

1. SB 743 requires that whatever metric is developed, it must promote reductions in greenhouse gas emissions. Increases in roadway capacity for automobiles may lead to increases in noise, greenhouse gas emissions and other air pollutants. SB 743 similarly provides that air quality, noise, safety and other non-delay effects related to transportation will remain a part of a CEQA analysis.
 - a. Are there environmental impacts related to transportation other than air quality (including greenhouse gas emissions), noise and safety? If so, what is the best measurement of such impacts that is not tied to capacity?
 - b. Are there transportation-related air quality, noise and safety effects that would not already be addressed in other sections of an environmental analysis (i.e., the air quality section or noise section of an initial study or environmental impact report)? If so, what is the best measurement of such impacts that is not tied to capacity?
 - c. Would consistency with roadway design guidelines normally indicate a less than significant safety impact?

2. What are the best available models and tools to measure transportation impacts using the metrics evaluated above? SB 743 allows OPR to establish criteria “for models used to analyze transportation impacts to ensure the models are accurate, reliable, and consistent with the intent of” SB 743. Should OPR establish criteria for models? If so, which criteria?
3. SB 743 provides that parking impacts of certain types of projects in certain locations shall not be considered significant impacts on the environment. Where that limitation does not apply, what role, if any, should parking play in the analysis of transportation impacts?

OPR will continue conducting research and meeting with stakeholders while this preliminary evaluation is being publicly reviewed. Following the close of the comment period, OPR will evaluate the input it receives, and develop a discussion draft of the alternatives to LOS and relevant changes to the CEQA Guidelines. The public will be invited to provide input on that discussion draft. If necessary, OPR may further revise the discussion draft based on that input. OPR intends to transmit a final draft of the changes to the CEQA Guidelines to the Natural Resources Agency by July 1, 2014.

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Memorandum

4.4

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Active Transportation Program Update

RECOMMENDATION: Receive an Update on the Active Transportation Program

Summary

The Active Transportation Program, created at the end of the last state legislative session, consolidates existing state and federal active transportation funding sources into a single program with a goal of increasing flexibility and reducing administrative burden. The ATP will be administered by the Caltrans Division of Local Assistance and allocated by the California Transportation Commission. Approximately \$120 million of funds are available on an annual basis through the ATP. Of this amount, 50 percent will be awarded through a statewide competitive call for projects and forty 40 percent will be distributed to large urban MPOs on a population basis. MTC will receive an estimated \$10 million annually for a regional competitive program through the ATP. Final ATP guidelines will be adopted by March 20, 2014, and the statewide and regional calls for projects will occur sequentially during 2014 after adoption of guidelines.

Background

Creation of Active Transportation Program

On September 26, 2013, Governor Brown signed legislation creating the Active Transportation Program (ATP) in the Department of Transportation ([Senate Bill 99, Chapter 359](#) and [Assembly Bill 101, Chapter 354](#)). The ATP consolidates existing federal and state transportation programs into a single program with a focus on making California a national leader in active transportation. The ATP is administered by the Division of Local Assistance, Office of Active Transportation and Special Programs.

Funding Available

The ATP is funded by various state and federal funds from appropriations in the annual Budget Act. Funds for the program are appropriated to the Department of Transportation, for allocation by the California Transportation Commission (CTC). Approximately \$120 million in funding is available according to the fund estimate adopted by the CTC.

The ATP consolidates the federal Transportation Alternatives (TA) Program with the state Safe Routes to School (SR2) and Bicycle Transportation Account (BTA). The federal TA program, created as part of MAP-21, encompasses most activities previously funded under the separate federal SR2S, Recreational Trails Program (RTP), and Transportation Enhancement (TE) programs. TA program funding is derived from the National Highway Planning Program (NHPP), Surface Transportation Program (STP), Highway Safety Improvement Program (HSIP), Congestion Mitigation and Air Quality Improvement Program (CMAQ), and Metropolitan Planning program.

Funds appropriated for the ATP are distributed as follows:

- 50% to projects awarded on competitive statewide basis
- 40% to large urban metropolitan planning organizations (MPOs) in proportion to population, to be obligated for eligible projects on competitive basis by MPOs
- 10% to small urban and rural regions with populations of 200,000 or less.

Of the amount in the statewide competitive component, a minimum of \$24 million shall be awarded to fund Safe Routes to School projects. Within that amount, no less than \$7.2 million shall be awarded to non-infrastructure types of projects.

The legislation also requires that within each funding category, (large MPO, small/rural MPO, and statewide competitive), 25% of funds must go to disadvantaged communities.

Program Guideline Development

The CTC established an Active Transportation Workgroup which held a series of meetings from October through January to discuss ATP guidelines. Alameda CTC staff monitored the discussion this workgroup. Staff also contributed to a letter submitted to CTC by a coalition of MPOs as well as a letter submitted by Bay Area Congestion Management Agencies. These letters contained recommendations that focused on:

- Allowing MPOs to adopt unique guidelines for the regional share of funds
- Using lump sum allocations to regional programs (rather than allocating individual projects) to avoid project delivery delays
- Allowing smaller jurisdictions within the boundaries of large MPO to apply for large urban MPO or small urban and rural funds
- Ensuring a streamlined application and evaluation process, and
- Defining disadvantaged communities in a way that is consistent with definitions used in regional planning processes and takes into account cost of living differences across the state.
- Ensuring that the timeline for MPO call for projects will allow for obligation of funds by federal deadlines
- Allowing swapping of present and future year obligation authority by project sponsors
- Ensuring criteria and minimum grant sizes allow small and non-infrastructure projects to compete well

The most recent version of the Draft Guidelines released on December 30, 2013 by the CTC is included as Attachment A. Preliminary Draft Guidelines specify that the CTC will adopt final guidelines on March 20, 2014.

Timeline and Eligibility

The following information is preliminary and is not final until ATP Guidelines are adopted by the CTC.

The Draft Program Guidelines specify that the statewide competitive call for projects will be issued on March 21, 2014 with an application deadline of June 30, 2014. The MPO competitive calls are to follow the statewide competitive call.

Eligible applicants include local, regional, or state agencies, Caltrans, transit operators, natural resources or public land agencies, school districts, local education agencies, or schools, tribal governments, private non-profits (recreational trail projects only), or other entities with responsibility for oversight of transportation or recreational trails.

Infrastructure projects, non-infrastructure projects, and infrastructure projects with non-infrastructure components are all eligible to apply for ATP funds. Within infrastructure projects, capital improvements including the planning, design, and construction of facilities are eligible, but maintenance activities are not eligible. Non-infrastructure projects will focus on pilot and start-up projects rather than ongoing program operations.

Because the majority of the funds in the ATP are federal funds, non-infrastructure and infrastructure projects should be federal-aid eligible.

A minimum request size of \$250,000 is proposed for non-SR2S infrastructure projects applying for the statewide competitive portion of the ATP. MPOs are provided flexibility to establish a different minimum funding size for their calls.

A minimum match of 10% is required for projects requesting up to \$1 million from the statewide competitive portion of the ATP that do not benefit a disadvantaged community. Projects requesting more than \$5 million must provide a minimum of 20% matching funds.

MTC Competitive Funds

Approximately \$10 million of ATP funds are estimated to be available for the MTC region. MTC is currently developing guidelines for the regional competitive share of the ATP. Under the Preliminary Draft guidelines, MTC has the flexibility to develop its own guidelines including adopting different criteria and weighting, minimum project size, match requirements, and criteria for determining which projects benefit Disadvantaged Communities. Should MTC elect to develop different guidelines for its share of the ATP than those adopted by the CTC, these guidelines will be due to the CTC by May 21, 2014.

The Preliminary Draft guidelines also state that applications for projects not selected for the statewide portion of the ATP must be considered by the appropriate MPO.

Fiscal Impact

There is no fiscal impact.

Attachments

- A. Draft Active Transportation Program Guidelines (December 30, 2013 version)

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DRAFT
ACTIVE TRANSPORTATION PROGRAM
GUIDELINES

12/30/13

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INTRODUCTION

BACKGROUND

The Active Transportation Program was created by Senate Bill 99 (Chapter 359, Statutes 2013) and Assembly Bill 101 (Chapter 354, Statutes 2013) to encourage increased use of active modes of transportation, such as biking and walking.

These guidelines describe the policy, standards, criteria, and procedures for the development, adoption and management of the Active Transportation Program. They were developed in consultation with the Active Transportation Program Workgroup. The workgroup includes representatives from Caltrans, other government agencies, and active transportation stakeholder organizations with expertise in pedestrian and bicycle issues, including Safe Routes to School programs.

The Commission must hold at least two public hearings prior to adopting these guidelines. The Commission may amend the adopted guidelines after conducting at least one public hearing. The Commission shall make a reasonable effort to amend the guidelines prior to the call for projects or may extend the deadline for project submission in order to comply with the amended guidelines.

PROGRAM GOALS

Pursuant to statute, the goals of the Active Transportation Program are to achieve:

- Increase the proportion of trips accomplished by biking and walking.
- Increase the safety and mobility of non-motorized users.
- Advance the active transportation efforts of regional agencies to achieve greenhouse gas reduction goals as established pursuant to Senate Bill 375 (Chapter 728, Statutes of 2008) and Senate Bill 391 (Chapter 585, Statutes of 2009).
- Enhance public health, including reduction of childhood obesity through the use of programs including, but not limited to, projects eligible for Safe Routes to School Program funding.
- Ensure that disadvantaged communities fully share in the benefits of the program.
- Provide a broad spectrum of projects to benefit many types of active transportation users.

PROGRAM SCHEDULE

The guidelines for an initial two-year program of projects must be adopted by March 26, 2014 (within six months of the enactment of the authorizing legislation). No later than 45 days prior to adopting the initial set of guidelines for the Active Transportation Program, the Commission must submit the draft guidelines to the Joint Legislative Budget Committee.

Subsequent programs must be adopted not later than April 1 of each odd-numbered year, however, the Commission may alternatively elect to adopt a program annually.

The following schedule lists the major milestones for the development and adoption of the 2014 Active Transportation Program:

- December 11, 2013: Commission adopts Fund Estimate
- January 22, 2014: Guidelines hearing, South
- January 29, 2014: Guidelines hearing, North

- February 3, 2104: Guidelines submitted to the Joint Legislative Budget Committee
- March 20, 2014: Commission adopts Active Transportation Program Guidelines
- March 21, 2014: Call for projects
- May 21, 2014: Project applications to Commission
- May 21, 2014: Large MPO guidelines to Commission (optional)
- June 25, 2014: Commission approves or rejects MPO guidelines
- August 20, 2014: Commission adopts Active Transportation Program (statewide and rural/small urban portions). Projects not programmed distributed to large MPOs based on location.
- September 30, 2014: Deadline for MPO project programming recommendations to the Commission.
- November 2014: Commission programming of MPO selected projects.

FUNDING

SOURCE

The Active Transportation Program is funded from various federal and state funds appropriated in the annual Budget Act. These are:

- 100% of the federal Transportation Alternative Program funds, except for federal Recreation Trail Program funds appropriated to the Department of Parks and Recreation.
- \$21 million of federal Highway Safety Improvement Program funds or other federal funds.
- State Highway Account funds.

In addition to furthering the goals of this program, all Active Transportation Program projects must meet eligibility requirements specific to the Active Transportation Program's funding sources.

DISTRIBUTION

State and Federal law segregate the Active Transportation Program into multiple, overlapping components. The Active Transportation Program Fund Estimate shall indicate the funds available for each of the program components. Consistent with these requirements, the Active Transportation Program funds shall be distributed as follows:

1. Forty percent to Metropolitan Planning Organizations in urban areas with populations greater than 200,000.

These funds shall be distributed based on total county population. The funds programmed and allocated under this paragraph shall be selected through a competitive process by the MPOs in accordance with these guidelines.

Projects selected by MPOs may be in either large urban, small urban, or rural areas.

25% of the funds in each MPO must benefit disadvantaged communities.

The following statutory requirements apply specifically to the Southern California Association of Governments (SCAG)

- SCAG shall consult with county transportation commissions, the Commission, and Caltrans in the development of competitive project selection criteria.
 - The criteria used by SCAG should include consideration of geographic equity, consistent with program objectives.
 - SCAG shall place priority on projects that are consistent with plans adopted by local and regional governments within the county where the project is located.
 - SCAG shall obtain concurrence from the county transportation commissions.
2. Ten percent to small urban and rural regions with populations of 200,000 or less, with projects competitively awarded by the Commission to projects in those regions. Federal law segregates Transportation Alternative Program into separate small urban and rural competitions; ~~therefore this portion of the program will be segregated into separate Small Urban and Rural programs~~ based upon their relative share of the state population. Small Urban areas are those with populations of 5,001 to 200,000. Rural areas are those with populations below 5,000.

25% of the funds in the Small Urban and Rural programs must benefit disadvantaged communities.

Projects within the boundaries of a MPO with an urban area with a population of greater than 200,000 are not eligible for funding in the Small Urban or Rural programs.

3. Fifty percent to projects competitively awarded by the Commission on a statewide basis.

25% of the funds in the statewide competitive program must benefit disadvantaged communities.

In the initial three years of the program, \$24 million per year of the statewide competitive program is available for safe routes to schools projects, with at least \$7.2 million for non-infrastructure grants, including funding for a state technical assistance resource center.

MATCHING REQUIREMENTS

Projects requesting up to \$1 million and that do not benefit a disadvantaged community shall include at least 10% in matching funds. All projects requesting \$5 million or more shall include at least 20% in matching funds. The source of the match funds cannot be state or federal funds subject to allocation by the Commission. The match must be in the same component as the Active Transportation Program funding. Additionally, match funds must be expended after Commission Active Transportation Program allocation funds, and concurrently and proportionally to the Active Transportation Program funds.

Large MPOs, in administering a competitive selection process, may require a different funding match for projects selected through their competitive process. Applicants from within a large MPO should be aware that the requirements in these two competitions may differ.

FUNDING FOR ACTIVE TRANSPORTATION PLANS

The Commission will make a percentage of Active Transportation Program funding available for the funding of active transportation plans in disadvantaged communities. The percentage of funding available for active transportation plans will be based on the percentage of Active Transportation Program that request funding for plans. This percentage will be applied first to the statewide competitive program then

subsequently to the rural and small urban portion of the program. A large MPO in administering its portion of the program may use the same percentage methodology to determining the funding available for active transportation plans within the MPO or it may propose an alternate methodology.

The first priority for the funding of active transportation plans will be for cities, counties, school districts, or transit districts that have neither a bicycle plan, a pedestrian plan, a safe routes to schools plan, nor an active transportation plan. The second priority for the funding of active transportation plans will be for cities or counties that have a bicycle plan or a pedestrian plan but not both.

REIMBURSEMENT

The Active Transportation Program is a reimbursement program for costs incurred. Reimbursement is requested through the invoice process detailed in Chapter 5, Accounting/Invoices, Local Assistance Procedures Manual. Costs incurred prior to Commission allocation and, for federally funded projects, Federal Highway Administration project approval (i.e. Authorization to Proceed) are not eligible for reimbursement.

ELIGIBILITY

ELIGIBLE APPLICANTS

The applicant for Active Transportation Program funds assumes responsibility and accountability for the use and expenditure of program funds. Applicants must be able to comply with all the federal and state laws, regulations, policies and procedures required to enter into a Local Administering Agency-State Master Agreement (Master Agreement). Refer to Chapter 4, Agreements, of the Local Assistance Procedures Manual for guidance and procedures on Master Agreements. The following entities, within the State of California, are eligible to apply for Active Transportation Program funds:

- **Local, Regional or State Agencies**- Examples include city, county, MPO*, and Regional Transportation Planning Agency.
- Caltrans*
- Transit Agencies - Any agency responsible for public transportation that is eligible for funds under the Federal Transit Administration.
- Natural Resource or Public Land Agencies - Federal, Tribal, State, or local agency responsible for natural resources or public land administration Examples include:
 - State or local park or forest agencies
 - State or local fish and game or wildlife agencies
 - Department of the Interior Land Management Agencies
 - U.S. Forest Service
- School districts, local education agencies, or schools – May include any public or nonprofit private school. Projects **must** benefit the general public, and not only a private entity.
- Tribal Governments - Federally-recognized Native American Tribes.
- **Private nonprofit tax-exempt organizations may apply for Recreational Trail Projects. Projects must benefit the general public, and not only a private entity.**
- Any other entity with responsibility for oversight of transportation or recreational trails that the Commission and Caltrans determine to be eligible.

For funding awarded to a tribal government, a fund transfer to the Bureau of Indian Affairs is required. A tribal government may also partner with another eligible entity to apply if desired.

** State DOTs and MPOs are not eligible project sponsors for the federal TAP funds appropriated to the Active Transportation Program. Therefore, funding awarded to projects submitted directly by Caltrans and MPOs are limited to other Active Transportation Program funds. Caltrans and MPOs may partner with an eligible entity to expand funding opportunities.*

PARTNERING WITH IMPLEMENTATING AGENCIES

Entities that are unable to apply for Active Transportation Program funds, enter into a Master Agreement with the State, or unfamiliar with the requirements to administer a Federal-Aid Highway Program project may partner with an eligible applicant that can implement the project. This arrangement should be formalized through a signed Memorandum of Understanding or Interagency Agreement between the project applicant and implementing agency, documentation of which must be included with the project application.

The implementing agency will be responsible and accountable for the use and expenditure of program funds.

ELIGIBLE PROJECTS

All projects shall be selected through a competitive process and must meet one or more of the program goals. Because the majority for funds in the Active Transportation Program are federal funds, most infrastructure projects and all non-infrastructure projects must be federal-aid eligible:

- Infrastructure Projects: Capital improvements that will further the goals of this program. This typically includes the planning, design, and construction of facilities.
- Non-infrastructure Projects: Education, encouragement, and enforcement activities that further the goals of this program. The Commission intends to focus funding for non-infrastructure projects on pilot and start-up projects that can demonstrate funding for ongoing efforts. These grants are not intended to fund ongoing program operations. Non-infrastructure projects are not limited to those benefiting school students.
- Infrastructure projects with non-infrastructure components.

In order to maximize the effectiveness of program funding and to encourage the aggregation of small projects into a comprehensive bundle of projects, the minimum request for Active Transportation Program funds for an infrastructure project, excluding Safe Routes to Schools projects, that will be considered is \$500,000 \$250,000. MPOs, in administering a competitive selection process, may use different minimum funding size. Use of a minimum project size greater than \$500,000 must be approved by the Commission prior to the MPO's call for projects.

EXAMPLE PROJECTS

Below is a list of projects considered generally eligible for Active Transportation Program funding. This list is not intended to be comprehensive; other types of projects that are not on this list may also be eligible if they further the goals of the program.

- Development of new bikeways and walkways that improve mobility, access, or safety for non-motorized users.
- Improvements to existing bikeways and walkways, which improve mobility, access, or safety for non-motorized users.

- Elimination of hazardous conditions on existing bikeways and walkways.
- Preventative maintenance of bikeways and walkways with the primary goal of extending the service life of the facility.
- Installation of traffic control devices to improve the safety of pedestrians and bicyclists.
- Safe Routes to School projects that improve the safety of children walking and bicycling to school, in accordance with Section 1404 of Public Law 109-59.
- Safe routes to transit projects, which will encourage transit by improving biking and walking routes to mass transportation facilities and school bus stops.
- Secure bicycle parking at employment centers, park and ride lots, rail and transit stations, and ferry docks and landings.
- Bicycle-carrying facilities on public transit, including rail and ferries.
- Recreational trails and trailheads, park projects that facilitate trail linkages or connectivity to non-motorized corridors, and conversion of abandoned railroad corridors to trails.
- Education programs to increase bicycling and walking, and other non-infrastructure investments that demonstrate effectiveness in increasing active transportation, including:
 - Developing bike-to-work or school day/month programs.
 - Conducting bicycle and/or pedestrian counts, walkability and/or bikability assessments or audits, or pedestrian and/or bicycle safety analysis to inform plans and projects.
 - Conducting pedestrian and bicycle safety education programs.
 - Development and publishing of community walking and biking maps, including school route/travel plans.
 - Developing walking school bus/bike train programs.
 - Components of open streets events directly linked to the promotion of a new infrastructure project.
 - Targeted enforcement activities around high pedestrian and/or bicycle injury and/or fatality locations (intersections or corridors). These activities cannot be general traffic enforcement but must be tied to improving pedestrian and bicyclist safety.
 - School crossing guard training.
 - School bicycle clinics.
- Development of a bike, pedestrian or active transportation plan.

PROJECT TYPE REQUIREMENTS

As discussed in the Funding Distribution section (above), State and Federal law segregate the Active Transportation Program into multiple, overlapping components. Below is an explanation of the requirements specific to these components.

DISADVANTAGED COMMUNITIES

For a project to contribute toward the Disadvantaged Communities funding requirement, the project shall clearly demonstrate a benefit to a community that meets any of the following criteria:

- The median household income is less than 80% of the statewide average based on zip code level data from the American Community Survey. Data is available at http://www.dof.ca.gov/research/demographic/state_census_data_center/american_community_survey/.

- An area identified as among the most disadvantaged 10% in the state according to latest versions of the California Communities Environmental Health Screening Tool (CalEnviroScreen) scores. Scores are available at <http://oehha.ca.gov/ej/ces11.html>.
- At least 75% of public school students in the project area are eligible to receive free or reduced-price meals under the National School Lunch Program. Data is available at <http://www.cde.ca.gov/ds/sd/sd/files/sp.asp>. Applicants using this measure shall indicate how the project benefits the school students in the project area or, for projects not directly benefiting school students, explain why this measure is representative of the larger community.

If a project applicant believes a project benefits a disadvantaged community but the project does not meet the aforementioned criteria, the applicant may submit for consideration a quantitative assessment of why the community should be considered disadvantaged.

MPOs, in administering a competitive selection process, may use different criteria for determining which projects benefit Disadvantaged Communities if the criteria are approved by the Commission prior to the MPO's call for projects.

SAFE ROUTES TO SCHOOL PROJECTS

For a project to contribute toward the Safe Routes to School funding requirement, the project shall directly increase safety and convenience for public school students to walk and/or bike to school. Safe Routes to Schools infrastructure projects must be located within two miles of a public school or public school bus stop. Other than traffic education and enforcement activities, non-infrastructure projects do not have a location restriction.

RECREATIONAL TRAILS PROJECTS

For Recreational Trails types of projects to be eligible for Active Transportation Program funding, the projects must meet the federal requirements of the Recreational Trails Program (http://www.fhwa.dot.gov/environment/recreational_trails/) as such projects may not be eligible for funding from other sources.

TECHNICAL ASSISTANCE RESOURCE CENTER

In 2010, Caltrans entered into a multi-year interagency agreement with the California Department of Public Health and the University of California, San Francisco to act as the Technical Assistance Resource Center for the Safe Routes to Schools program. The purpose of the center is to build and support capacity among local and regional Safe Routes to School projects with an emphasis on non-infrastructure projects.

Typical center roles have included:

- Providing technical assistance and training to help agencies deliver existing and future projects and to strengthen community involvement in future projects including those in disadvantaged communities.
- Developing and providing educational materials to local communities by developing a community awareness kit, creating an enhanced Safe Routes to Schools website, and providing other educational tools and resources.
- Participating in and assisting with the Safe Routes to Schools Advisory Committee.

- Assisting with program evaluation.

The Commission intends to comply with the statutory requirement to fund a state technical assistance center by expanding the existing Safe Routes to Schools Technical Assistance Resource Center interagency agreement to include the serving entire active transportation program. Should this not occur, the Commission will consider grant applications to fund additional technical assistance activities.

PROJECT SELECTION PROCESS

PROJECT APPLICATION

Active Transportation Program project applications are available at www.dot.ca.gov

A project nomination shall include the signature of the Chief Executive Officer or other officer authorized by the applicant's governing board. Where the project is to be implemented by an agency other than the applicant, the documentation of the agreement between the project applicant and implementing agency. A project nomination shall also include documentation of all other funds committed to the projects.

Project nominations should be addressed or delivered to:

Caltrans

1120 N Street
Sacramento, CA 95814

Except for applications submitted through an optional MPO supplemental call for project, the Commission will consider only projects for which five hard copies and one electronic copy of a complete nomination are received by *May 21, 2014*. By the same date, an additional copy shall also be sent to the Regional Transportation Planning Agency or County Transportation Commission within which the project is located and to the MPO if the project is located within a multi-county MPO.

SEQUENTIAL PROJECT SELECTION

All project applications, except for applications submitted through an optional MPO supplemental call shall be submitted to the Caltrans for consideration in the statewide competition. The Commission will consider approval of a competitive grant only when it finds that the grant request meets the requirements of statute and that the project has a commitment of any supplementary funding needed for a full funding plan.

Projects not selected for programming in the statewide competition shall be considered in the large MPO run competitions or the state run Small Urban or Rural competitions.

A large urban MPO may elect to have a supplemental MPO specific call for projects. The projects received in this call shall be considered along with those not selected through the statewide competition.

A large urban MPO choosing to use the same project selection criteria and weighting, minimum project size, and definition of disadvantage communities for its competitive selection process may defer its project selection to the Commission.

MPO COMPETITIVE PROJECT SELECTION

Projects not selected for programming in the statewide competition shall be considered by the MPOs in administering a competitive selection process. A MPO choosing to use the same project selection criteria and weighting, minimum project size, match requirement, and definition of disadvantage communities as used by the Commission for the statewide competition may defer its project selection to the Commission.

A MPO, with Commission approval, may use a different project selection criteria or weighting, minimum project size, match requirement, or definition of disadvantage communities for its competitive selection process. **Use of a minimum project size of \$500,000 or less, or of a smaller match requirement than in the statewide competitive program does not require prior Commission approval.** A MPO may also elect to have a supplemental MPO specific call for projects. The projects received in this call shall be considered along with those not selected through the statewide competition.

In administering a competitive selection process, a MPO shall use a multidisciplinary advisory group to assist in evaluating project applications. Following its competitive selection process, a MPO shall submit its programming recommendations to the Commission along with a list of the members of its multidisciplinary advisory group.

SCREENING CRITERIA

Demonstrated needs of the applicant:

A project that is already fully funded will not be considered for funding in the Active Transportation Program. The Commission **will** make an exception to this policy by allowing the supplanting of federal funds on a project for the 2014 Active Transportation Program.

Consistence with a regional transportation plan:

All projects submitted must be consistent with the relevant adopted regional transportation plan that has been developed and updated pursuant to Government Code Section 65080.

SCORING CRITERIA

Proposed projects will be rated and ranked on the basis of applicant responses to the below criteria. Project programming recommendations may not be based strictly on the rating criteria because of the various components of the Active Transportation Program and the requirements of the various fund sources.

- Potential for increased walking and bicycling, especially among students, including the identification of walking and bicycling routes to and from schools, transit facilities, community centers, **employment centers**, and other destinations; and including increasing and improving connectivity and mobility of non-motorized users. (0 to **30** points)
- Potential for reducing **the number and/or rate of** pedestrian and bicyclist fatalities and injuries, including the identification of safety hazards for pedestrians and bicyclists. (0 to **25** points)
- **Public participation and Planning.** (0 to 15 points)

Identification of the community-based local public participation process that culminated in the project proposal, which may include noticed meetings and consultation with local stake holders. Project applicants must clearly how the local participation process **resulted in the identification and prioritization of the proposed project.**

For projects costing \$1 million or more, an emphasis will be placed on projects that demonstrate consistency with an adopted city or county bicycle transportation plan, pursuant to Section 891.2, pedestrian plan, safe routes to school plan, active transportation plan, **trail plan or circulation element of a general plan**. In future funding cycles, the Commission expects to make consistency with an approved active transportation plan a requirement for large projects.

- Cost-effectiveness, defined as maximizing the impact of the funds provided. (0 to **10** points)

Applicants shall **discuss the relative costs and benefits of the range of alternative considered** and quantify the safety and mobility benefit in relationship to total project cost.

Caltrans shall develop a benefit/cost model for **infrastructure and non-infrastructure** active transportation projects in order to improve information available to decision makers at the state and MPO level in future programming cycles.

- **Improved public health through the targeting of at-risk or vulnerable populations. (0 to 10 points)**
- Benefit to disadvantaged communities. (0 to 10 points)
- Use of the California Conservation Corps or a qualified community conservation corps, as defined in Section 14507.5 of the Public Resources Code, as partners to undertake or construct applicable projects in accordance with Section 1524 of Public Law 112-141. **Points will be deducted if an applicant does not seek corps participation or if an applicant intends not to utilize a corps in a project in which the corps can participate. (0 to -5 points)**

Direct contracting with the California Conservation Corps or a qualified community conservation corps without bidding is permissible provided that the responsible agency demonstrates cost effectiveness per 23 CFR 635.204 and obtains approval from Caltrans. A copy of the agreement between the responsible agency and the proposed conservation corps shall be included in the project application as supporting documentation.

- Applicant's performance on past grants. This may include project delivery, project benefits (anticipated v. actual), and use of the California Conservation Corps or qualified community conservation corps (planned v. actual). Applications from agencies with poor performance records on past grants may be excluded from competing or may be penalized in scoring. (**0 to -10** points)

PROJECT EVALUATION COMMITTEE

Commission staff will form a multidisciplinary Project Evaluation Committee is to assist in evaluating project applications. In forming the Project Evaluation Committee, staff will seek participants with expertise in bicycling and pedestrian transportation, including Safe Routes to Schools type projects, and in projects benefiting disadvantaged communities, and will seek representation from state agencies, large MPOs, small urban and rural areas, and non-governmental organizations. Priority for participation in the evaluation committee will be given to those who do not represent a project sponsor or applicant, or will not benefit from projects submitted by others.

In reviewing and selecting projects to be funded by federal funds in the Recreational Trails Program, the Commission staff will collaborate with the Department of Parks and Recreation to evaluate proposed projects

MPOs, in administering a competitive selection process, shall use a multidisciplinary advisory group, similar to the aforementioned Project Evaluation Committee, to assist in evaluating project applications.

PROGRAMMING

PROJECT PROGRAMMING

Following at least one public hearing, the Commission will adopt an annual program of projects for the Active Transportation Program, by April 1 of each odd numbered year. The Active Transportation Program shall be developed consistent with the fund estimate and the amount programmed in each fiscal year shall not exceed the amount identified in the fund estimate.

The program of projects for each fiscal year will include, for each project, the amount to be funded from the Active Transportation Program, and the estimated total cost of project construction or equipment acquisition, including any additional supplementary funding. Project costs in the Active Transportation Program will include all project support costs and all project listings will specify costs for each of the following components: (1) completion of all permits and environmental studies; (2) preparation of plans, specifications, and estimates; (3) right-of-way capital outlay (4) support for right-of-way acquisition; (5) construction capital outlay; and (6) construction management and engineering, including surveys and inspection. The cost of each project cost component will be listed in the Active Transportation Program no earlier than in the fiscal year in which the particular project component can be delivered.

When proposing to fund only preconstruction components for a project, the applicant should demonstrate the means by which it intends to fund the construction of a useable segment, consistent with the regional transportation plan or the Caltrans interregional transportation strategic plan.

When project design, right-of-way or construction are programmed before the sponsoring agency completes the environmental process, updated cost estimates, updated analysis of the project's cost effectiveness, and updated analysis of the project's ability to further the goals of the program shall be submitted to the Commission following completion of the environmental process. If this updated information indicates that a project is expected to accomplish fewer benefits or is less cost effective as compared with the initial project application, future funding for the project may be deleted from the program. For the MPO selected competitions, this information should be submitted to the MPO. It is the responsibility of the MPO to recommend that the project be deleted from the program if warranted.

The Commission will program and allocate funding to projects in whole thousands of dollars and will include a project only if it is fully funded from a combination of Active Transportation Program and other committed funding. The Commission will regard funds as committed when they are programmed by the Commission or when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For federal formula funds, including Surface Transportation Program, Congestion Mitigation and Air Quality Improvement Program, and federal formula transit funds, the commitment may be by Federal Transportation Improvement Program adoption. For federal discretionary funds, the commitment may be by federal approval of a full funding grant agreement or by grant approval.

~~The Commission may approve an amendment to the Active Transportation Program at any time. An amendment must appear in an agenda published 10 days in advance of the Commission meeting. Amendments do not require the 30-day notice that applies to a State Transportation Improvement~~

Program (STIP) amendment. Amendments to the MPO selected portion of the program must be approved by the MPO prior to Commission approval.

If the program of projects adopted by the Commission does not program the full capacity identified in the fund estimate for a given fiscal year, the balance will remain available for future program amendments to advance programmed projects. A balance not programmed in one fiscal year will carry over and be available for projects in the following fiscal year, except that unprogrammed funds will not carry over into a subsequent fund estimate.

The intent of the Commission is to consolidate the allocation of federal funds to as few projects as practicable. Therefore, the smallest project may be designated, at the time of programming, for state-only funding.

ALLOCATIONS

The Commission will consider the allocation of funds for a project when it receives an allocation request and recommendation from Caltrans in the same manner as for the STIP (see section 64 of the STIP guidelines). The recommendation will include a determination project readiness, the availability of appropriated funding, and the availability of all identified and committed supplementary funding.

Where the project is to be implemented by an agency other than the applicant, the allocation request shall include a copy of the Memorandum of Understanding or Interagency Agreement between the project applicant and implementing agency.

The Commission will approve the allocation if the funds are available, the allocation is necessary to implement the project as included in the adopted Active Transportation Program.

In order to ensure the timely use of all program funds, the Commission will, in the last quarter of the fiscal year, allocate funds to projects programmed in a future fiscal year on a first-come, first served basis. If there are insufficient funds, the Commission may delay the allocation of funds to a project until the next fiscal year without requiring an extension. Should requests for allocations exceed available capacity, the Commission will give priority to projects programmed in the current-year.

Allocation requests for a project in the MPO selected portion of the program must include a recommendation by the MPO.

In compliance with Section 21150 of the Public Resources Code, the Commission will not allocate funds for design, right-of-way, or construction prior to documentation of environmental clearance under the California Environmental Quality Act. As a matter of policy, the Commission will not allocate funds for design, right-of-way, or construction of a federally funded project prior to documentation of environmental clearance under the National Environmental Policy Act. Exceptions to this policy may be made in instances where federal law allows for the acquisition of right-of-way prior to completion of National Environmental Policy Act review.

If a project requests an allocation of funds in an amount that is less than the amount programmed, that allocation savings may be allocated to a programmed project advanced from a future fiscal year. A MPO, in administering its competitive portion of the Active Transportation Program, shall determine which projects to advance and make that recommendation to the Commission. Unallocated funds in one fiscal year will carry over and be available for projects in the following fiscal year, except that unallocated funds will not carry over into a subsequent fund estimate.

PROJECT DELIVERY

Active Transportation Program allocations must be requested in the fiscal year of project programming, and are valid for award for six months from the date of allocation unless the Commission approves an extension. **However, if there are insufficient funds, the Commission may delay the allocation of funds to a project until the next fiscal year without requiring an extension.** **If there are insufficient funds, the Commission may delay the allocation of funds to a project until the next fiscal year without requiring an extension.** Applicants may submit and the Commission will evaluate extension requests in the same manner as for STIP projects (see section 66 of the STIP guidelines) except that extension to the period for project allocation and for project award will be limited to twelve months. Extension requests for a project in the MPO selected portion of the program must include a recommendation by the MPO, consistent with the preceding requirements

Whenever programmed funds are not allocated within this deadline, the project will be deleted from the Active Transportation Program. Funds available following the deletion of a project may be allocated to a programmed project advanced from a future fiscal year. A MPO, in administering its competitive portion of the Active Transportation Program, shall determine which projects to advance and make that recommendation to the Commission. Unallocated funds in one fiscal year will carry over and be available for projects in the following fiscal year, except that unallocated funds will not carry over into a subsequent fund estimate.

The responsible agency must enter into a cooperative agreement with Caltrans and, if the project is federally funded, obligate the federal funds within six months.

Funds allocated for project development or right of way costs must be expended by the end of the second fiscal year following the fiscal year in which the funds were allocated. After the award of a contract, the project sponsor has up to 36 months to complete (accept) the contract. At the time of fund allocation, the Commission may extend the deadline for completion of work and the liquidation of funds if necessary to accommodate the proposed expenditure plan for the project. The project sponsor has six months after contract acceptance to make the final payment to the contractor or vendor, prepare the final Report of Expenditure and submit the final invoice to Caltrans for reimbursement.

If the amount of a contract award is less than the amount allocated, or if the final cost of a component is less than the amount awarded, the saving generated will not be available for future programming or allocation.

Caltrans will track the delivery of Active Transportation Program projects and submit to the Commission a quarterly report showing the delivery of each project component.

PROJECT INACTIVITY

Once funds for a project are encumbered, project applicants are expected to invoice on a regular basis (for federal funds, see 23 CFR 630.106 and the Caltrans' Inactive Obligation Policy). Failure to do so will result in the project being deemed "inactive" and subject to deobligation if proper justification is not provided.

PROJECT REPORTING

As a condition of the project allocation, the Commission will require the implementing agency to submit **quarterly semi-annual** reports on the activities and progress made toward implementation of the project

and a final delivery report. An agency implementing a project in the MPO selected portion of the program shall also submit copies of its semi-annual reports and of its final deliver report to the MPO. The purpose of the reports is to ensure that the project is being executed in a timely fashion and is within the scope and budget identified when the decision was made to fund the project. Costs associated with reporting are an eligible project cost.

Within ~~six months~~ one year of the project becoming operable, the implementing agency shall provide a final delivery report to the Commission which includes:

- The scope of the completed project as compared to the programmed project.
- Before and after photos documenting the project.
- The final costs as compared to the approved project budget.
- Its duration as compared to the project schedule in the project application.
- Performance outcomes derived from the project as compared to those described in the project application. This should include before and after pedestrian and/or bicycle counts, and an explanation of the methodology for conduction counts.
- Actual use of the California Conservation Corps or qualified community conservation corps as compared to the use in the project application.

For the purpose of this section, a project becomes operable when the construction contract is accepted or acquired equipment is received, or in the case of non-infrastructure activities, when the activities are complete.

Caltrans shall audit a sample of Active Transportation Program projects to determine whether project costs incurred and reimbursed are in compliance with the executed project agreement or approved amendments thereof; state and federal laws and regulations; contract provisions; and Commission guidelines, and whether project deliverables (outputs) and outcomes are consistent with the project scope, schedule and benefits described in the executed project agreement or approved amendments thereof.

ROLES AND RESPONSIBILITIES

CALIFORNIA TRANSPORTATION COMMISSION (COMMISSION)

The Commission responsibilities include:

- Adopt guidelines and policies for the Active Transportation Program.
- Adopt Active Transportation Program Fund Estimate.
- Evaluate projects, including the forming of the Project Evaluation Committee.
- Adopt a program of projects, including:
 - The statewide portion of the Active Transportation Program,
 - The rural portion of the Active Transportation Program,
 - The small urban portion of the Active Transportation Program, and
 - The MPO selected portion of the program based on the recommendations of the MPOs.
 - Ensure that at least 25% of the funds benefit disadvantage communities.
- Allocate funds to projects.
- Report to the legislature.

CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS)

Draft Active Transportation Program Guidelines (12/30/13)

Caltrans has the primary responsibility for the administration of the Active Transportation Program. Responsibilities include:

- Provide statewide program and procedural guidance to the Districts (i.e. provide project evaluation of materials and instructions), conducts outreach through various networks such as, but not limited to, the Active Transportation Program website, and at conferences, meetings, or workgroups.
- Solicit project applications for the program.
- Facilitate the Project Evaluation Committee.
- Perform eligibility reviews of Active Transportation Program projects.
- Review project applications for scope, cost, schedule, and completeness.
- Recommend project to the Commission for programming and allocation.
- Notify applicants of the results after each call for projects.
- Track project implementation.
- Serve as the main point of contact in project implementation after notifying successful applicants of award.

METROPOLITAN PLANNING ORGANIZATIONS WITH LARGE URBANIZED AREAS

These MPOs are responsible for overseeing a competitive project selection process in accordance with these guidelines. The responsibilities include:

- Ensure that at least 25% of the funds in each MPO must benefit disadvantage communities.
- If using different project selection criteria or weighting, minimum project size, match requirement, or definition of disadvantage communities for its competitive selection process, the MPO must obtain Commission approval prior to the MPO's call for projects. **Use of a minimum project size of \$500,000 or less, or of a smaller match requirement than in the statewide competitive program does not require prior Commission approval.**
- If electing to have a supplemental MPO specific call for projects, the projects within the MPO boundaries that were not selected through the statewide competition shall be considered along with those received in the supplemental call for projects.
- In administering a competitive selection process, a MPO shall use a multidisciplinary advisory group to assist in evaluating project applications.
- In administering a competitive selection process, a MPO shall explain how the projects recommended for programming by the MPO include a broad spectrum of projects to benefit pedestrians and bicyclists. The explanation shall include a discussion of how the recommended projects benefit students walking and cycling to school.
- A MPO choosing to use the same project selection criteria and weighting, minimum project size, and definition of disadvantage communities for its competitive selection process may defer its project selection to the Commission.
- Approve amendments to the MPO selected portion of the program prior to Commission approval.
- Recommend allocation requests for a project in the MPO selected portion of the program.
- Determine which projects to advance and make that recommendation to the Commission.

The following statutory requirements apply specifically to the Southern California Association of Governments (SCAG)

- SCAG shall consult with county transportation commissions, the Commission, and Caltrans in the development of competitive project selection criteria. The criteria should include consideration of geographic equity, consistent with program objectives.
- SCAG shall place priority on projects that are consistent with plans adopted by local and regional governments within the county where the project is located.
- SCAG shall obtain concurrence from the county transportation.

REGIONAL TRANSPORTATION PLANNING AGENCIES OUTSIDE A MPO WITH LARGE URBANIZED AREAS AND A MPO WITHOUT LARGE URBANIZED AREAS

These Regional Transportation Planning Agencies and MPOs may make recommendations or provide input to Commission regarding the projects within their boundaries that are applying for Active Transportation Program funding.

PROJECT APPLICANT

Project applicants nominate Active Transportation Program projects for funding consideration. If awarded Active Transportation Program funding for a submitted project, the project applicant has contractual responsibility for carrying out the project to completion in accordance with federal, state, and local laws and regulations, and these guidelines. For capital projects, the project applicant will be responsible for the ongoing operations and maintenance of the facility.

ACTIVE TRANSPORTATION PLAN

A city, county, county transportation commission, regional transportation planning agency, MPO, school district, or transit district may prepare an active transportation plan. A plan prepared by a city or county may be integrated into the circulation element of its general plan or a separate plan. An active transportation plan shall include, but not be limited to, the following components:

- a) The estimated number of existing bicycle trips and pedestrian trips in the plan area, both in absolute numbers and as a percentage of all trips, and the estimated increase in the number of bicycle trips and pedestrian trips resulting from implementation of the plan.
- b) The number and location of collisions, serious injuries, and fatalities suffered by bicyclists and pedestrians in the plan area, both in absolute numbers and as a percentage of all collisions and injuries, and a goal for collision, serious injury, and fatality reduction after implementation of the plan.
- c) A map and description of existing and proposed land use and settlement patterns which shall include, but not be limited to, locations of residential neighborhoods, schools, shopping centers, public buildings, major employment centers, and other destinations.
- d) A map and description of existing and proposed bicycle transportation facilities.
- e) A map and description of existing and proposed end-of-trip bicycle parking facilities.
- f) A description of existing and proposed policies related to bicycle parking in public locations, private parking garages and parking lots and in new commercial and residential developments.
- g) A map and description of existing and proposed bicycle transport and parking facilities for connections with and use of other transportation modes. These shall include, but not be limited to, parking facilities at transit stops, rail and transit terminals, ferry docks and landings, park and ride lots, and provisions for transporting bicyclists and bicycles on transit or rail vehicles or ferry vessels.

- h) A map and description of existing and proposed pedestrian facilities at major transit hubs. These shall include, but not be limited to, rail and transit terminals, and ferry docks and landings.
- i) A description of proposed signage providing wayfinding along bicycle and pedestrian networks to designated destinations.
- j) A description of the policies and procedures for maintaining existing and proposed bicycle and pedestrian facilities, including but not limited to the maintenance of smooth pavement, freedom from encroaching vegetation, maintenance of traffic control devices including striping and other pavement markings, and lighting.
- k) A description of bicycle and pedestrian safety, education, and encouragement programs conducted in the area included within the plan, efforts by the law enforcement agency having primary traffic law enforcement responsibility in the area to enforce provisions of the law impacting bicycle and pedestrian safety, and the resulting effect on accidents involving bicyclists and pedestrians.
- l) A description of the extent of citizen and community involvement in development of the plan, including, but not limited to, letters of support.
- m) A description of how the active transportation plan has been coordinated with neighboring jurisdictions and is consistent with other local or regional transportation, air quality, or energy conservation plans, including, but not limited to, general plans and a Sustainable Community Strategy in a Regional Transportation Plan.
- n) A description of the projects and programs proposed in the plan and a listing of their priorities for implementation, including the methodology for project prioritization and a proposed timeline for implementation.
- o) A description of past expenditures for bicycle and pedestrian facilities and programs, and future financial needs for projects and programs that improve safety and convenience for bicyclists and pedestrians in the plan area. Include anticipated revenue sources and potential grant funding for bicycle and pedestrian uses.
- p) A description of staffing needs to implement projects and programs and current staff resources dedicated to bicycle and pedestrian uses.
- q) A resolution showing adoption of the plan by the city, county or district. If the active transportation plan was prepared by a county transportation commission, regional transportation planning agency, MPO, school district or transit district, the plan should indicate the support via resolution of the city(s) or county(s) in which the proposed facilities would be located.

A city, county, school district, or transit district that has prepared an active transportation plan may submit the plan to the county transportation commission or transportation planning agency for approval. The city, county, school district, or transit district may submit an approved plan to Caltrans in connection with an application for funds active transportation facilities which will implement the plan.

FEDERAL REQUIREMENTS

Unless programmed for state-only funding, project applicants must comply with the provisions of Title 23 of the U.S. Code of Federal Regulations and with the processes and procedures contained in the Caltrans Local Assistance Procedure Manual and the Master Agreement with Caltrans. Below are examples of federal requirements that must be met when administering Active Transportation Program projects.

- National Environmental Policy Act (NEPA) compliance and documentation is required on all projects. Refer to Chapter 6, Environmental Procedures, of the Local Assistance Procedures Manual for guidance and procedures on complying with NEPA and other federal environmentally related laws.
- Project applicants may not proceed with the final design of a project or request "Authorization to proceed with Right-of-Way" or "Authorization to proceed with Construction" until Caltrans has signed a Categorical Exclusion, a finding of No Significant Impact, or a Record of Decision. Failure to follow this requirement will make the project ineligible for federal reimbursement.
- If the project requires the purchase of right of way (the acquisition of real property), the provisions of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 apply. For more information, refer to Chapter 13, Right of Way, of the Local Assistance Procedures Manual.
- If the project applicant requires the consultation services of architects, landscape architects, land surveyors, or engineers, the procedures in the Chapter 10, Consultant Selection, of the Local Assistance Procedures Manual must be followed.
- Contract documents are required to incorporate applicable federal requirements such as Davis Bacon wage rates, competitive bidding, Disadvantaged Business Enterprises/Equal Employment Opportunity provisions, etc. For more information, refer to Chapter 9, Civil Rights and Disadvantaged Business Enterprises, and Chapter 12, Plans, Specifications & Estimate, of the Local Assistance Procedures Manual

Failure to comply with federal requirements may result in the repayment to the State of Active Transportation Program funds.

DESIGN STANDARDS

Chapter 11, Design Standards, of the Caltrans Local Assistance Procedure Manual describes statewide design standards, specifications, procedures, guides, and references that are acceptable in the geometric, drainage, and structural design of Local Assistance projects. The chapter also describes design exception approval procedures. These standards and procedures shall be used for all Active Transportation Program projects. With each programming cycle, Caltrans shall report on the number and nature of design exceptions requested, whether those design exceptions were approved or denied, and when denied the reason for the denial.

For capital projects, the project applicant will be responsible for the ongoing operations and maintenance of the facility.

All facilities constructed using Active Transportation Program funds cannot revert to a non-Active Transportation Program use for a minimum of 20 years or its actual useful life, whichever is less, without approval of the Commission.

PROGRAM EVALUATION

The Active Transportation Program will be evaluated for its effectiveness in increasing the use of active modes of transportation in California. Applicants that receive funding for a project will be asked to collect and submit data to Caltrans as described in the "Project Reporting" section.

By December 31, 2014, the Commission will post its website information about the initial program of projects, including a list of all projects programmed and allocated in each portion of the program, by region, and by project type, along with information on grants awarded to disadvantaged communities,

After 2014, the Commission will include in its annual report to the Legislature a discussion on the effectiveness of the program in terms of planned and achieved improvement in mobility and safety and timely use of funds, and will include a summary of its activities relative to the administration of the Active Transportation Program including:

- Projects programmed,
- Projects allocated
- Projects completed to date by project type,
- Projects completed to date by geographic distribution,
- Projects completed to date by benefit to disadvantaged communities, and
- Projects completed to date with the California Conservation Corps or qualified community conservation corps.

DRAFT



Memorandum

4.5

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Cap and Trade Program Update

RECOMMENDATION: Receive an update on the Cap and Trade Program.

Summary

California's greenhouse gas (GHG) cap-and-trade program is a central element of California's Global Warming Solutions Act ([Assembly Bill 32](#)) and covers major sources of GHG emissions in the state such as refineries, power plants, industrial facilities and transportation fuels. The regulation includes an enforceable GHG cap that will decline over time. The California Air Resources Board (CARB) distributes allowances, which are tradable permits, equal to the emission allowed under the cap. The Alameda CTC supported [AB 574 \(Lowenthal\)](#) which required that Cap and Trade funds derived from motor fuels be used for transportation purposes that support GHG reductions, supporting a nexus between the source and use of the funds. AB 574 included the advocacy principles of the Transportation Coalition for Livable Communities, which was developed and supported by transportation interest and advocacy groups across the state.

On April 16, 2013, the CARB released its draft [Cap & Trade Investment Plan](#) and adopted a final plan on April 25th with no revisions. The final expenditure plan was submitted to the Governor for his May 2013 Budget Revise. However, in the 2013/14 budget, the State borrowed from these funds and did not allocate them for other purposes. It is anticipated that the Governor's proposed 2014/15 budget, which will be released in January 2014 will include proposals for how to allocate the funds.

Over the past few months the Bay Area Congestion Management Agencies have been collaborating with the Metropolitan Transportation Commission (MTC) regarding development of the allocation methods for Cap and Trade funds that come to the region. At its December 2013 meeting, the MTC approved the Cap and Trade Funding Framework and Project Selection Guideline Development Process.

Background

The Bay Area's Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS), known as Plan Bay Area (PBA), was adopted in July 2013 and assumes \$3.1 billion dollars in Cap and Trade revenue. These funds represent the Bay Area's share of funds that are expected to be administered by the state's metropolitan planning organizations.

PBA includes a description of eligible uses, including, but not limited to "transit operating and capital rehabilitation/replacement, local street and road rehabilitation, goods movement, and transit-oriented affordable housing, consistent with the focused land use strategy outlined in Plan Bay Area." PBA further notes that the "share of funds reserved for these purposes, the specific project sponsors and investment requirements will be subject to further deliberation with partner agencies and public input following adoption of Plan Bay Area."

Regarding support for communities of concern, PBA states that Cap and Trade revenues will be allocated to specific programs through a transparent and inclusive regional public process that "will specifically ensure that at least 25 percent of these revenues will be spent to benefit disadvantaged communities in the Bay Area, and to achieve the goals of Plan Bay Area."

In addition, PBA states that the plan will direct a "significant portion" of the revenue generated from Cap and Trade to unmet transit needs.

MTC released a proposal in November 2013 that identified specific categories of expenditures for cap and trade funds that aligns with the focused land use strategy outlined in Plan Bay Area. The proposal also includes principles that, among others, require all investment categories to include funding that benefits disadvantaged communities as defined by MTC's Communities of Concern analysis that was included in Plan Bay Area.

At its December 2013 meeting, the MTC approved the Cap and Trade Funding Framework and Project Selection Guideline Development Process.

Table 1: investment categories for Cap and Trade Funding included the following focus areas

Funding Category	Amount (\$ x million)
1. Transit Core Capacity Challenge Grants Program	875
2. Transit Operating and Efficiency Program	500
3. One Bay Area Grants	1,050
4. Climate Initiatives	275
5. Goods Movement	450
TOTAL	\$3,150

The Transit Core Capacity program includes investment of \$875 million over the life of Plan Bay Area and focuses on BART, SFMTA, and AC Transit – transit operators that carry 80% of region's passengers and account for approximately 75% of the plan's estimated transit capital shortfall, and also includes funding for the Santa Clara Valley Transportation Authority (VTA) system.

The Transit Operating and Efficiency Program includes investment of \$500 million and is distributed based on a formula that provides 40% of the funding to core capacity transit operators (AC Transit, BART, and SFMTA) and 60% to the remaining transit operators. The formula for distribution within the two operator categories is as follows: 50% based on ridership; 25% based on low-income ridership; and 25% based on minority ridership (see attached material for additional detail).

The One Bay Area Grants category includes investment of \$1,050 million towards transportation improvements concentrated near high quality transit and higher density housing focusing on complete streets, bicycle and pedestrian facilities, and streetscape improvements.

The Climate Initiatives Program is a multi-agency program focused on investments in technology advancements and incentives for travel options that help the Bay Area meet the GHG emission reduction targets related to SB375. This category includes \$75 Million funding to support the county Safe Routes to School programs

Goods movement investments fall into two categories: (1) projects focused on improving the efficiency of the movement of goods within and through the region, and (2) mitigation projects that reduce the associated environmental impacts on local communities. MTC is currently working with Caltrans and selected Congestion Management Agencies (including the Alameda CTC) to update the regional goods movement program and to inform the California Freight Mobility Plan.

The proposed principles and a set of investment categories for Cap and Trade Funding are listed in Attachment A. The process for developing the guidelines for various categories are detailed in the Project Selection Guidelines and will occur in 2014 (and are further detailed in Attachment B).

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Principles and investment categories for Cap and Trade Funding
- B. Process for developing the Project Selection Guidelines

Staff Contact

[Matt Todd](#), Principal Transportation Engineer

[Vivek Bhat](#), Senior Transportation Engineer

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Date: December 18, 2013
 W.I.: 1515
 Referred by: PAC

Attachment A
 Resolution No. 4130
 Page 1 of 3

Attachment A

Bay Area Cap and Trade Funding Framework

Cap and Trade Reserve Investment Principles

1. Cap and Trade Funds must have a strong nexus to Greenhouse Gas (GHG) reduction
2. Distribution of the estimated \$3.1 billion in available funds will serve to strategically advance the implementation of Plan Bay Area and related regional policies
3. Investment Categories and related Policy Initiatives will be structured to provide co-benefits and opportunities to leverage investments across categories and from multiple sources (public and private).
4. All Investment Categories should include funding that benefits disadvantaged communities. The communities are defined as MTC's Communities of Concern, or as refined during the guideline development process.

Cap and Trade Reserve Funding Categories

1. Transit Core Capacity Challenge Grants Program

Plan Bay Area identifies a remaining need of \$17 billion over nearly three decades to achieve an optimal state of repair for the region's public transit network. The plan's in-fill and transit-oriented growth strategy relies on a well-maintained transit system to meet greenhouse gas emissions reduction targets and other plan performance objectives.

Proposal:

- Invest \$875 million over the life of Plan Bay Area
- The proposed Transit Core Capacity Challenge Grant Program:
 - a) accelerates fleet replacement and other state of good repair projects from Plan Bay Area, including "greening" the fleet and other strategic capital enhancements
 - b) focuses on BART, SFMTA, and AC Transit – transit operators that carry 80% of region's passengers, account for approximately 75% of the plan's estimated transit capital shortfall, and serve PDAs that are expected to accommodate the lion's share of the region's housing and employment growth
 - c) achieves roughly \$7 billion in total state of good repair investment by leveraging other regional discretionary funds and requiring a minimum 30% local match from the three operators
 - d) requires that participating operators meet the Transit Sustainability Project's performance objectives outlined in MTC Resolution No. 4060

2. Transit Operating and Efficiency Program

Plan Bay Area fully funds existing transit service levels at nearly \$115 billion over the three decade period, with an assumption that the largest transit operators achieve near-term performance improvements. However, the plan also identifies the importance of a more robust and expanded public transit network, anchored by expanded local service, as a key ingredient for success of Plan Bay Area’s growth strategy. In particular, the plan falls short of the funding necessary to meet the performance target of growth in the non-auto mode share to 26 percent of all trips.

Proposal:

- Invest \$500 million over the life of Plan Bay Area
- Distribute the funding based on a formula that provides 40% of the funding to core capacity transit operators (AC Transit, BART, and SFMTA) and 60% to the remaining transit operators. The formula for distribution within the two operator categories is as follows: 50% based on ridership; 25% based on low-income ridership; and 25% based on minority ridership. The \$500 million distribution based on 2011 National Transit Database ridership and 2006 Godbe Transit Passenger Demographic Survey is as follows:

Core Capacity Operator	40%
<i>AC Transit</i>	\$35
<i>BART</i>	\$54
<i>SFMTA</i>	\$111
Subtotal	\$200
Other Operator	60%
<i>Caltrain</i>	\$35
<i>Golden Gate (w Marin Transit)</i>	\$22
<i>SamTrans</i>	\$44
<i>VTA</i>	\$140
Subtotal	\$241
<i>ACE</i>	\$1.8
<i>CCCTA</i>	\$10.3
<i>ECCTA</i>	\$8.1
<i>Fairfield + Suisun</i>	\$2.9
<i>LAVTA</i>	\$5.4
<i>NCTPA</i>	\$2.5
<i>Santa Rosa</i>	\$9.7
<i>SolTrans</i>	\$4.8
<i>Sonoma County</i>	\$4.3
<i>Union City</i>	\$1.5
<i>Vacaville</i>	\$1.3
<i>WCCTA</i>	\$3.8
<i>WETA</i>	\$2.7
Subtotal	\$59
Total	\$500

3. One Bay Area Grants

Plan Bay Area invests over \$14 billion in transportation improvements concentrated near high quality transit and higher density housing – through the One Bay Area grant program – focusing on complete streets, bicycle and pedestrian facilities, and streetscape improvements. The Plan identifies a remaining need of \$20 billion over the next three decades to achieve a PCI score of 75, the Plan’s adopted performance target for pavement; of this, roughly 45% is for non-pavement infrastructure, critical for complete streets that would serve alternative modes and transit-oriented development that is a key part of Plan Bay Area’s growth strategy. Further, the provision of housing for low and moderate income households in areas that provide access to jobs was identified in Plan Bay Area as critical to sustaining the region’s economic growth and attaining the Plan’s GHG and Housing Targets.

Proposal:

- Invest \$1,050 million to augment the One Bay Area Grant Program

4. Climate Initiatives

The Climate Initiatives Program is a multi-agency program focused on investments in technology advancements and incentives for travel options that help the Bay Area meet the GHG emission reduction targets related to SB375.

Proposal:

- Invest \$275 million for the Climate Initiatives Program over the life of Plan Bay Area, including \$75 million funding to support the county Safe Routes to School programs

5. Goods Movement

Goods movement investments fall into two categories: (1) projects focused on improving the efficiency of the movement of goods within and through the region, and (2) mitigation projects that reduce the associated environmental impacts on local communities. MTC is currently working with Caltrans and selected Congestion Management Agencies to update the regional goods movement program and to inform the California Freight Mobility Plan.

Proposal:

- Invest \$450 million for goods movement projects over the life of Plan Bay Area

Funding Category	Amount (\$ millions)
1. Transit Core Capacity Challenge Grants Program	875
2. Transit Operating and Efficiency Program	500
3. One Bay Area Grants	1,050
4. Climate Initiatives	275
<i>Safe Routes to School</i>	75
5. Goods Movement	450
TOTAL	\$3,150

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Date: December 18, 2013
W.I.: 1515
Referred by: PAC

Attachment B
Resolution No. 4130
Page 1 of 2

Attachment B

Cap and Trade Guideline Development Process

Following adoption of the Cap and Trade Funding Framework, staff will convene stakeholders to develop the project selection process and criteria for individual categories, summarized below:

- Transit Operating and Efficiency Program
- One Bay Area Grants
- Climate Initiatives
- Goods Movement

The Transit Core Capacity Challenge Grant Program would follow the process and project selection included in MTC Resolution No. 4123.

Stakeholder Involvement: Staff will convene the Regional Advisory Working Group (RAWG) as the discussion forum for the development of the project selection process and criteria. Members of the Partnership Board and Policy Advisory Council (or their working groups) will be invited to participate in the RAWG, but will also receive updates on the progress of the RAWG Cap and Trade guideline development discussions. In addition, certain subject matter experts or stakeholders may be added to the standing working groups to provide information for specific categories of funding.

Development of Program Guidelines: The development of the project selection process and criteria is proposed to take place over a 6-12 month period and generally follow the process below:

- Review studies/efforts completed to-date
- Conduct an initial evaluation to establish focus area within the Funding Category
- Develop the draft guidelines
- Release the draft guidelines for stakeholder review
- Commission approval of Program Guidelines and adjustment to Framework, if necessary

More detail on each step in the proposed process is provided in the table on the next page. Staff proposes to initiate discussions between summer 2014 and early 2015, depending on the enactment of state legislation and completion of studies that may inform guidelines.

Process Steps	Work Plan and Timeframe																				
Review Studies and Efforts Completed To-Date	<p>Staff will summarize and review with stakeholders recent efforts completed for each of the Cap and Trade categories. Possible studies by category include:</p> <table border="0"> <thead> <tr> <th data-bbox="621 310 953 380"><i>Transit Operating and Efficiency</i></th> <th data-bbox="984 310 1163 380"><i>OneBayArea Grants</i></th> <th data-bbox="1325 310 1461 380"><i>Climate Initiatives</i></th> <th data-bbox="1665 310 1808 380"><i>Goods Movement</i></th> </tr> </thead> <tbody> <tr> <td data-bbox="621 380 953 449">1) Transit Sustainability Project</td> <td data-bbox="984 380 1163 449">1) Plan Bay Area</td> <td data-bbox="1325 380 1461 449">1) Plan Bay Area</td> <td data-bbox="1665 380 1808 449">1) Plan Bay Area</td> </tr> <tr> <td data-bbox="621 449 953 519">2) Short Range Transit Plans or similar plans</td> <td data-bbox="984 449 1163 519">2) Cycle 1 Evaluation</td> <td data-bbox="1325 449 1461 519">2) Innovative Grants Evaluation</td> <td data-bbox="1665 449 1808 519">2) Regional Goods Movement Plan and update</td> </tr> <tr> <td></td> <td></td> <td data-bbox="1325 519 1461 589">3) Air District Plans and programs</td> <td data-bbox="1665 519 1808 589">3) California Freight Mobility Plan</td> </tr> <tr> <td></td> <td></td> <td data-bbox="1325 589 1461 659">4) CARB programs</td> <td></td> </tr> </tbody> </table>	<i>Transit Operating and Efficiency</i>	<i>OneBayArea Grants</i>	<i>Climate Initiatives</i>	<i>Goods Movement</i>	1) Transit Sustainability Project	1) Plan Bay Area	1) Plan Bay Area	1) Plan Bay Area	2) Short Range Transit Plans or similar plans	2) Cycle 1 Evaluation	2) Innovative Grants Evaluation	2) Regional Goods Movement Plan and update			3) Air District Plans and programs	3) California Freight Mobility Plan			4) CARB programs	
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		4) CARB programs																			
Conduct an Initial Evaluation to Establish Focus Area within the Funding Category	<p>Evaluate Project and Program Categories, based on the review of efforts to-date, broadly for the following:</p> <ol style="list-style-type: none"> 1) GHG emission reduction; 2) How well the projects or programs serve disadvantaged communities; 3) Other performance factors; and 4) Consistency with approved Cap and Trade statute, when available <p>This evaluation will inform the program focus areas and the criteria for competitive project selections.</p>																				
Develop the Guidelines	<p>This step should follow enactment of the legislation governing Cap and Trade funding to ensure consistency. The guidelines should consider the information gathered in the process steps above and include the following:</p> <ol style="list-style-type: none"> 1) Eligible project types 2) Individual project review and scoring 3) Funding amount and timing 4) Consistency with other initiatives 5) Potential leverage opportunities/local match requirements 6) Other requirements specified for funding eligibility (state requirements) 																				
Release the Draft Guidelines for Stakeholder Review	<p>Stakeholders would have an opportunity to review the draft guidelines and provide additional comments. Staff would review comments and finalize the guidelines accordingly.</p>																				
Commission Approval of Program Guidelines	<p>The Commission would consider adoption of the guidelines for specific program categories in early to late 2015. As necessary, the Commission would also consider any adjustments to the Cap and Trade Funding Framework to address stakeholder discussions or final legislative direction. The timing of these approvals will depend on the enactment of legislation governing Cap and Trade and the length of the guideline development process.</p>																				



Memorandum

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• 510.208.7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Level of Service (LOS) Monitoring Study: Validation Results for Use of Commercially Available Data

RECOMMENDATION: Receive information on the validation results for use of commercially available data for the Congestion Management Program LOS monitoring purposes

Summary

In its role as the congestion management agency for Alameda County, Alameda CTC biennially monitors the level of service (LOS) on the Congestion Management Program (CMP) roadways in the county for both morning and evening peak periods. As part of the 2011 and 2013 CMP updates, after receiving approval from the Commission, Alameda CTC performed a validation of commercially available travel-time data in comparison with the 2012 level of service (LOS) results for use in future CMP LOS monitoring. Results show that commercial data is suitable for monitoring freeways, ramps, and most of the Tier 2 arterials on the CMP network. Alameda CTC will continue to use the floating car survey method to perform 2014 LOS data monitoring of complete Tier 1 arterials and part of Tier 2 arterials and limited freeway and ramp segments where commercial data coverage is not adequate. Adequacy of quality data coverage will be checked during each LOS monitoring cycle for Tier 2 arterials and freeway and ramp segments where floating car surveys will be performed.

Background

The Alameda County CMP process requires biennial monitoring of LOS on the CMP roadway network. The CMP network shown in Attachment A contains 322 miles of roadways in two tiers: Tier 1 contains 232 miles of roadways that includes 134 miles (58 percent) of interstate freeways, 71 miles (31 percent) of conventional state highways, and 27 miles (11 percent) of city/county principal arterials, and Tier 2 contains 90 miles of other major city/county arterials.

Alameda CTC uses the data from monitoring of the evening peak period on the Tier 1 CMP network subject to CMP conformity to identify deficient segments as required by statute, and uses all other data collected for information purposes only. Through 2012, travel-time data collection has been carried out using floating car surveys, which used

the stop-watch method until 2006 and after that Global Positioning System (GPS). The [2012 LOS Monitoring report](#), with the most recent monitoring results, is available online.

In recent years, agencies are increasingly using commercially available data for similar monitoring efforts and performance measurements. This commercial data is aggregated speed data gathered from hundreds of sources equipped with GPS, including mobile phones, traditional road sensors, transit vehicles, fleet vehicles, trucks, and delivery vehicles. It provides significantly larger amounts of data, which is typically more accurate and thorough data since it captures the travel-time experiences by most, if not all, vehicles in the corridor. Additionally, this large amount of data is available at a significantly reduced cost and provides increased analysis opportunities (e.g., duration of congestion, daily delay, and off-peak performance) for performance and trend analyses.

In the Bay Area, the San Francisco County Transportation Authority (SFCTA) switched to using commercially available data for its LOS monitoring in 2012, and the Metropolitan Transportation Commission (MTC) has started using this data for 511.org since summer of 2013 and exploring its use for other performance measurements. The Santa Clara Valley Transportation Authority is currently exploring the use of commercially available data for LOS monitoring.

Considering the increased availability and use of commercially available travel-time data for congestion management, transportation system performance analysis, and decision making, the Alameda CTC Commission approved exploring and validating the use of the commercially available data as part of the 2011 and 2013 Congestion Management Program updates. Iteris Inc., a firm with wide experience in intelligent traffic management information, was selected to perform the validation in 2013. A [complete report on INRIX validation results](#) is available on Alameda CTC's website.

Validation Approach

INRIX is one of largest data providers in the commercial speed data market. In the Bay Area, MTC and SFCTA use INRIX commercial speed data, and across the country well-known institutions, such as the Texas Transportation Institute (TTI), use INRIX data (TTI uses it for its annual mobility report).

For validation purposes, Alameda CTC used INRIX data, which MTC provided at no cost to the CMAs, creating cost savings in data collection efforts. For the validation time period, since the most recent LOS monitoring using the floating car survey was in 2012, year 2012 data from INRIX and LOS monitoring were used.

The validation process followed these major steps:

1. Map the INRIX Traffic Message Channel (TMC) links (smallest geographic unit of the roadway for which INRIX data is provided) to the CMP segments.
2. Filter the raw data to remove days and times outside the monitoring period and data points with lower data quality scores.

3. Spatially and temporally aggregate the data to produce average peak period speeds by CMP segment.
4. Assign the LOS.
5. Compare the data with 2012 LOS monitoring data from floating car surveys.

Out of the total 322 miles of CMP network and 23 number of ramps, 52 percent of freeway segments, 87 percent of ramps, 84 percent of Tier-1 arterials and 75 percent of Tier-2 arterials were used for validation. The selection of these CMP segments was based on the CMP segments' consistency between the updated GIS file of the CMP network developed for this validation effort and the file used for 2012 LOS monitoring results reporting.

Analysis

Regarding INRIX data availability for the CMP roadways, high proportions of freeway segments (98 percent) and ramps (87 percent) had sample sizes in the thousands. Regarding sample sizes for Tier 1 and 2 arterials, although they were significantly high compared to floating car runs, 5 percent of Tier 1 arterials and 9 percent of Tier 2 arterial segments had sample sizes of less than 350. Furthermore, some CMP segments had no data; therefore, using the floating car method to continue to collect data on Tier 1 and a portion of Tier 2 arterials will be conducted.

For CMP segments that had INRIX data coverage, comparisons of INRIX and LOS monitoring results were made for both speed and travel-time metrics. Various analyses were performed to compare data and to test the validation. Tables 1 and 2 below present average weighted segment speeds and travel time for the CMP segments for various CMP roadways.

Tables 1 and 2 show a very close validation on Tier 1 freeways for both speeds and travel time, with a maximum of 7 percent (AM) and 4 percent (PM) difference. Ramps show a reasonable difference of a maximum of 12 percent in the morning period. The difference in travel time, used in the CMP LOS monitoring for various CMP roadway categories, is generally smaller than the difference in speed. Larger differences were observed for ramps in the PM and Tier 1 and 2 arterials for both AM and PM peak periods. These differences are not uncommon between the floating car data and commercially available data, particularly for interrupted traffic flow on arterials with traffic signal and stop signs. In these circumstances, commercial speed data typically shows reduced travel time or higher speeds, since it is more representative of collective traffic driver behavior as compared to floating car surveys, where the driver is anticipated to generally follow the traffic rules and the surveys result in a limited number of samples (typically six compared to the thousands in commercial speed data).

Table 1: CMP Network Average Travel Speed (mph)

CMP Roadway Category	2012 Floating Car Survey		2012 Commercial Speed Data		Percentage Difference	
	AM	PM	AM	PM	AM	PM
Tier 1 Freeways	45.8	45.7	48.8	44.0	7%	-4%
Tier 1 Ramps	36.6	30.1	41.1	40.1	12%	33%
Tier 1 Arterials	22.4	19.7	27.6	27.4	23%	39%
Tier 2 Arterials	20.7	19.6	26.5	26.3	28%	34%

Table 2: CMP Network Average Travel Times (min/mile)

CMP Roadway Category	2012 Floating Car Survey		2012 Commercial Speed Data		Percentage Difference	
	AM	PM	AM	PM	AM	PM
Tier 1 Freeways	1.3	1.3	1.2	1.4	-6%	+4%
Tier 1 Ramps	1.6	2.0	1.5	1.5	-11%	-25%
Tier 1 Arterials	2.7	3.1	2.2	2.2	-19%	-28%
Tier 2 Arterials	2.9	3.1	2.3	2.3	-22%	-25%

Detailed analyses and support graphics appear in the detailed [validation report available on Alameda CTC's website](#).

Results

The validation results and recommendations for future LOS monitoring were based on two factors: coverage of INRIX data (data availability in terms of physical coverage and data quality) on the CMP network and how well this data compares with the 2012 LOS results. Iteris recommended conducting floating car surveys for CMP segments that either did not have adequate data coverage and/or had poor data quality (Attachment B). Alameda CTC will conduct floating car surveys for these segments in the 2014 LOS monitoring cycle; however, availability of adequate and quality commercial data coverage will be checked during each monitoring cycle.

Since Tier 1 arterials are subject to conformity and having comparable data for comparing trends is important for this purpose, considering the larger differences in validation, floating car surveys will be performed for this CMP roadway category. For freeways where data was validated very well in all time periods, ramps where data was validated reasonably well during the AM peak period, Tier 2 arterials for which data has been collected only since 2012, and for informational purposes only, commercial speed data will be used where quality data coverage is available starting with 2014 LOS monitoring cycle.

This approach is expected to provide a significant volume of data at a reduced or no cost and allow effective and improved performance analyses. In summary, Alameda CTC will use the following data collection approach for the 2014 LOS monitoring of the CMP roadways:

- **Floating car surveys:** Alameda CTC will use this method for data monitoring of all Tier 1 arterials, part of Tier 2 arterials (25 miles out of 90 miles total), and for one Tier 1

segment and one ramp segment where commercial data coverage was not adequate.

- **Commercial speed data use:** Alameda CTC will use this method for all freeways and ramps, with the exception of one segment in each category that doesn't have adequate commercial data coverage, and for 65 miles of Tier 2 arterials.

Fiscal Impact: There is no fiscal impact.

Attachments

- A. CMP Network (Tiers 1 and 2)
- B. CMP Segments Recommended by Iteris for Floating Car Surveys

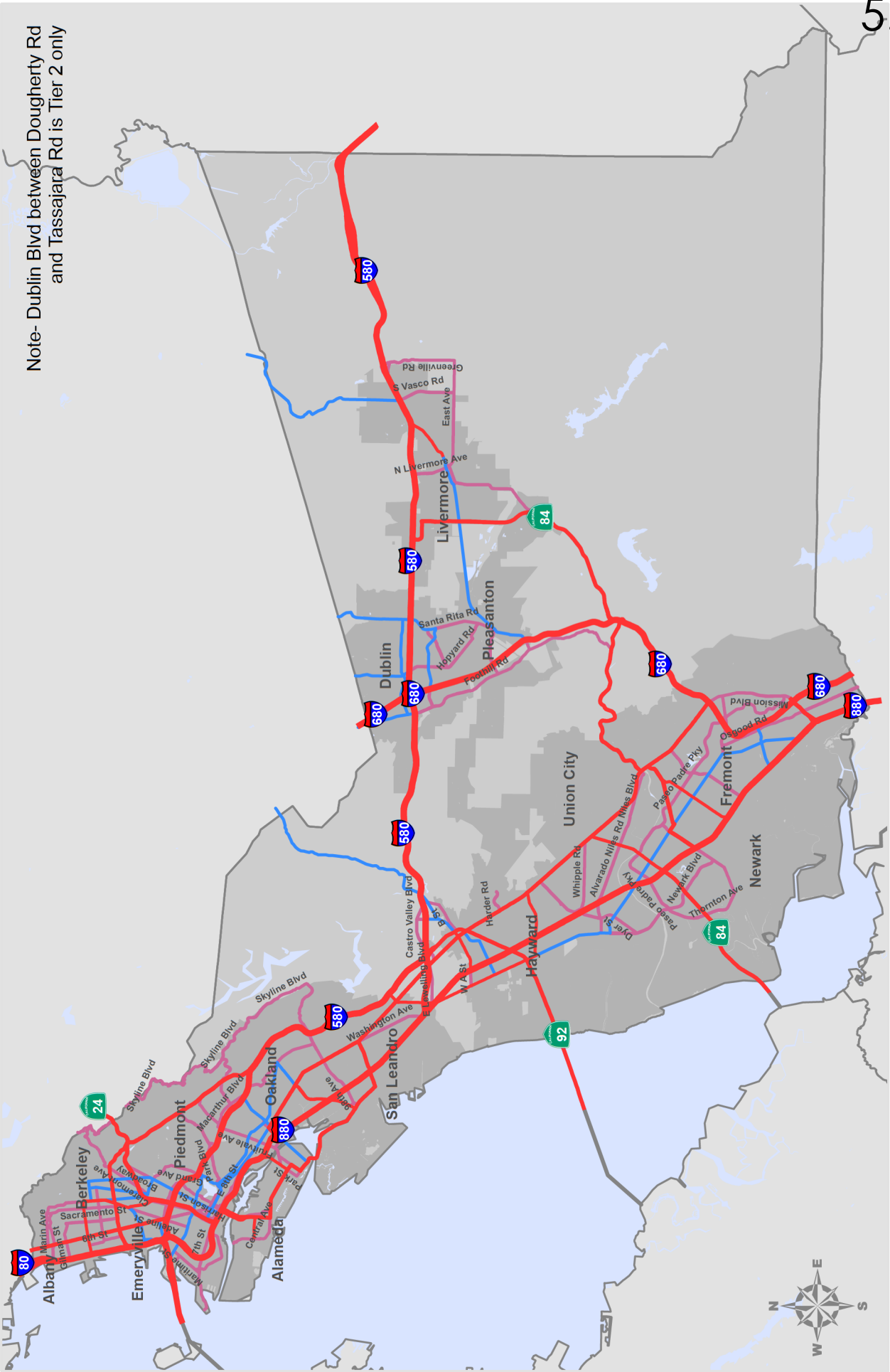
Staff Contacts

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

[Saravana Suthanthira](#), Senior Transportation Planner

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Note- Dublin Blvd between Dougherty Rd and Tassajara Rd is Tier 2 only

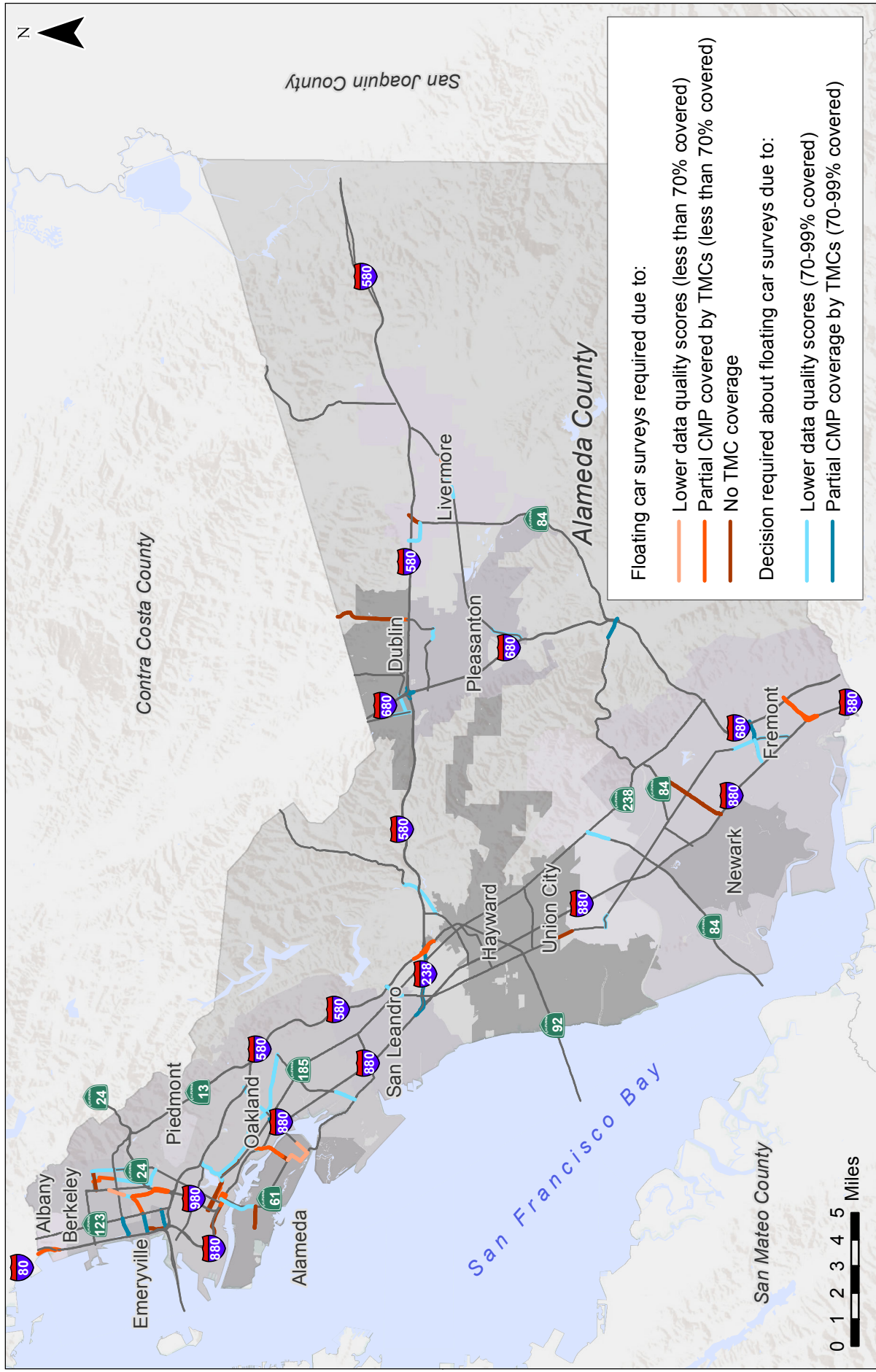


- Legend**
- Interstate/Freeway (CMP - Tier 1 & MTS)
 - State Highway (CMP - Tier 1 & MTS)
 - Principal Arterial (CMP - Tier 1 & MTS)
 - Principal Arterial (CMP - Tier 2 & MTS)
 - MTS Routes

Figure 1 : Designated Countywide System Map



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**Commercial Speed Data Coverage and Data Quality
“CMP Segments Recommended for Floating Car Surveys”**



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DATE: January 6, 2014

SUBJECT: Scope of Work for Development of a Countywide Multimodal Arterial Plan

RECOMMENDATION: Review and comment on the scope of work for development of a Countywide Multimodal Arterial Plan

Summary

The proposed Countywide Multimodal Arterial Plan will build on the previous corridor planning and Countywide Transportation Plan efforts of Alameda CTC to better understand the existing and future role and function of the countywide arterial system, provide a framework for the integrated management of major arterial corridors to support all modes, improve overall mobility, connectivity, and safety on the countywide arterial system while better serving the adjacent land uses, and identify a priority of short and long term improvements.

This memo summarizes the scope of work, key outcomes and objectives, and a preliminary schedule for the proposed Countywide Multimodal Arterial Plan. Based on the comments from ACTAC received by January 23, 2014, the draft scope will be updated incorporating ACTAC's comments and present the final scope to the Committees and Commission in February 2014 for a release of request for proposals at the end of February 2014.

Background

Arterial roadways are a critical component of the regional and local transportation system that moves people and goods within the county and the region. These roadways provide regional and local mobility with multiple transportation modes, access to surrounding land uses, and connectivity between employment and activity centers that is essential for Alameda County's economy and quality of life. However, in Alameda County, there is neither a complete inventory of arterial infrastructure, which is the first step in arterial management, nor is there a comprehensive strategy for managing these important roadways that take into account all modes and users of the transportation system. Previous plans and studies, such as the San Pablo Corridor Plan, the Central County Freeway Study, the Triangle Study and others, focused on satisfying Congestion Management Program (CMP) requirements or addressing issues specific to individual areas or corridors. Regional

arterial management efforts have also been limited to improving freeway performance or to making localized traffic control improvements in a few areas through the Metropolitan Transportation Commission's (MTC) Freeway Performance Initiative (FPI) and the Program for Arterial System Synchronization (PASS). Alameda CTC would like to build upon this previous work to develop a Countywide Multimodal Arterial Plan to comprehensively study the major arterials in the county, to provide a framework for the integrated management of major arterial corridors to support all modes, improve overall mobility, connectivity, and safety on the countywide arterial system, better connect land use and transportation, and identify of short and long term priority improvements.

The Alameda County transportation system consists of an extensive multimodal transportation network that facilitates the movement of people and goods within the county and the region. The county roadways consist of 3,600 centerline miles of roadways, and the majority of them are arterials and local roads. Most of the arterials also support or connect to alternative modes such as transit hubs, rail stations, transit routes, bikeways and pedestrian paths. To support the effective functioning of the transportation system, particularly arterials, many Travel Demand Management (TDM) and parking management strategies are implemented by local jurisdictions and regional agencies to maximize the existing capacity by shifting trips to alternative modes. Arterials also provide access to surrounding land uses and connectivity between employment and activity centers. Therefore, effective countywide arterial management is critical to the mobility of people and goods, connectivity across the county and ultimately for the economy, local communities, jobs and quality of life.

It is however challenging to address all competing needs on the arterial corridors particularly with continuously diminishing resources. Alameda CTC uses a corridor/areawide transportation planning process to identify and establish priorities for transportation improvements. This process is based on cooperative planning and coordinated action by local governments, Caltrans, transit agencies, and MTC. To date, Corridor Plans have been developed for most of the freeways in the county and some major arterials such as San Pablo Avenue Corridor, Central County Freeway Study (SR 238), SR 84 Historic Parkway Local Alternatives Transportation Improvement Program, and the Triangle Study. Many improvements identified in these plans are either already implemented or identified for implementation.

As stated previously, until now, Corridor Plans have been developed based upon need or to address location specific transportation issues. However, new legislative requirements related to climate change and complete street concepts, and new funding requirements that tie transportation funding to developments that foster the integration of transportation and land use necessitate the need for area-wide multimodal planning and better knowledge of how the countywide arterial system functions. Both the 2012 Countywide Transportation Plan and the 2013 Congestion Management Program identified the need for the multimodal planning, and identified as next steps the development of a comprehensive TDM Strategy, a Countywide Goods Movement Plan, a Countywide Transit Plan, and a Countywide

Multimodal Arterial Plan. The Countywide Comprehensive TDM Strategy was already developed and adopted by Alameda CTC in May 2013. The Countywide Goods Movement and Transit Plans development are underway. This Plan, the Countywide Multimodal Arterial Plan, will coordinate with the above planning efforts and focus on studying how the arterials in the county are functioning and how they can be better integrated modally. This Plan will provide a basis for making informed short and long term investment decisions, achieving a coordinated countywide multimodal arterial corridor network, and establishing supportive policies and strategies to improve person and goods mobility, access, connectivity and economic growth while supporting livable communities.

Purpose of the Countywide Multimodal Arterial Plan:

The purpose of the Countywide Multimodal Arterial Plan is to:

- Understand the existing role and function of countywide major arterial corridors and to define their future role and function by mode;
- Identify a countywide arterial network that supports all modes and connects to surrounding land uses and the rest of the countywide transportation system and regional activity centers;
- Provide a framework for the integrated management of a countywide arterial network;
- Improve overall mobility, access, connectivity, safety and efficiency of the multimodal network for all users, including goods movement, and considering the application of new technologies; and
- Provide a basis for prioritization of short and long term improvements to attract funding and coordinating policies and strategies between all levels of government.

The Plan will be developed in close coordination with local jurisdictions and Caltrans, as they are the owners and operators of the principal and major arterials in the county, and the local jurisdictions that have the authority over land use decisions and development. The Plan is anticipated to provide common goals and implementation mechanisms for jurisdictions, transit agencies, Caltrans and Alameda CTC in their efforts to improve the performance of key arterial corridors, including support and facilitation of the following:

- Implementation of the required Priority Development Areas Implementation Growth Strategy (PDA IGS) (including Priority Conservation Areas (PCAs)) and complete street policies;
- Effective and coordinated traffic management and Intelligent Transportation System (ITS) technologies on the arterial network, particularly those that traverse multiple jurisdictions and cross county lines;
- Implementation of supportive TDM/Transportation System Management (TSM) and parking management strategies, particularly between jurisdictions;
- Improved and seamless connectivity across the county for all modes;
- Improved coordination and connectivity between land use and the multimodal transportation system, including goods movement and delivery needs within and between jurisdictions and county lines; and

- Addressing modal priorities and conflicts through identification of roadway typologies with the goal of improving multimodal system efficiency across the county, including improved transit travel time.

Scope of Work and Deliverables

The following tasks summarize the general scope of services needed for development of a Countywide Multimodal Arterial Plan in Alameda County.

Task 1: Inventory existing plans, studies and policies, and identify a baseline integrated Countywide Multimodal Arterial Corridor Network (Arterial Network)

This task will inventory the existing arterials and corridors of countywide or regional significance in existing transportation plans, studies and policies. The inventory should include review of state routes, truck routes identified by Caltrans and local jurisdictions, the Metropolitan Transportation System (MTS) network, the Congestion Management Program (CMP) network, local transportation/circulation plan major corridors, transit routes, primary connections to transit hubs or rail stations, major bike routes, and routes serving Transit Oriented Developments (TODs) and PDAs.

In addition, this task includes defining a baseline countywide integrated arterial network (Arterial Network) as a result of the inventory analysis, including the rationale and methodology for defining the baseline network. This baseline network should consist of major, core arterials along with identification of supporting connecting/parallel routes to make any corridor on the network a complete multimodal corridor. It is anticipated that any planned strategic improvements to this Arterial Network will contribute to improved performance of the larger countywide transportation system. The Arterial Network should also include key rural routes that support the agricultural economy (e.g., farm to market flow and agricultural tourism) and efforts related to implementing Priority Conservation Areas (PCA), and connections to adjacent counties.

This task also includes documenting the role, use, utility and benefit of the major arterials in Alameda County in a white paper and fact sheet.

Deliverable: Technical memoranda summarizing arterial, land use and other studies that have included major arterials in the county and a comprehensive list of available data sources for collecting information on arterials. This technical memorandum must provide the rationale and methodology for defining a baseline arterial network, with supporting maps and documentation. White paper and fact sheet documenting the role, use, utility and benefit of the arterials in Alameda County, including graphical representations of data.

Task 2: Develop Data Collection Plan and Databases

This task will develop and implement a data collection plan focused on supporting the data collection needs for all tasks in the development of the Arterial Plan. Existing data from all sources and partner agencies will be used as much as possible in order to make the most

efficient use of resources. In addition to travel demand related data (i.e., demography, land uses, multimodal traffic and goods flow, origin and destination travel, TSM, TDM and parking strategies) the types of data that could be needed include, but are not limited to, multimodal and goods movement transportation infrastructure data such as roadway capacity (number of lanes), freeway ramp connection type (e.g., metered), intersection control (e.g., stop sign, signalized), traffic management strategies deployed, type of transit route and transit support facilities (e.g., bus shelter, parking and Park-N-Ride lots), bikeways, and sidewalks. Multimodal traffic data related to the Arterial Network could include, but is not limited to, speed, traffic volumes, mode share, transit ridership, transit travel time, bicycle and pedestrian counts, truck counts, and number of collisions. Once the data needs and sources have been identified, the data will need to be collected and put into database format. These data sources must be coordinated with other modal plans currently under development by Alameda CTC.

Deliverables: Technical Memoranda documenting the approach and rationale for data collection, including identification of certain data sources for future updates; a data collection plan; implementation of the plan and resulting databases.

Task 3: Identify Existing and Future Conditions and Perform Needs Assessment for the Arterial Network

This task will build upon the land use and arterials planning inventory developed in Task 1 and the data collection in Task 2 and will document existing and future conditions including support programs and strategies, develop growth projections and identify multi-modal travel demand for the Arterial Network. The existing and future conditions will be presented in terms of use and related infrastructure for all modes. An inventory of all planned improvements related to the functioning of the Arterial Network, including any operational strategies will be documented. Factors related to travel demand such as demographic trends, surrounding land uses, multimodal traffic and goods flow, origin and destination travel, and supportive TDM and parking strategies, will also be documented, and will be coordinated with the other modal plans that Alameda CTC is concurrently undertaking.

A needs assessment will be performed under this task, including identification of needs, gaps and deficiencies regarding multimodal capacity and operations, and the ability to support future travel demand on the network while serving the adjacent land uses and connecting to activity/employment centers. As part of the needs assessment, additional future arterial segments will be identified, as applicable, within the county, as well as major bottlenecks for all modes, existing and potential modal conflicts, and goods movement and coordination issues across the county on the Arterial Network. This task will also identify, based on the data collected, the role, functions and modal preferences of the Arterial Network in various parts of the county such as roadways or parts of the roadways that are critical to providing freeway connectivity or activity center connectivity; serving as freeway reliever routes, primary transit routes or trunk lines, goods delivery routes, or part of countywide bicycle or pedestrian networks; connecting to focused land use developments such as PDAs/TODs or

adjacent counties; and supporting implementation of PCAs and the agricultural economy (i.e., farm to market and agricultural tourism).

Deliverables: Technical Memoranda documenting existing and future conditions, growth projections, and outcomes of the needs assessment.

Task 4: Develop Vision, Goals and Objectives for the Plan

This task will develop the vision, goals and objectives for the Countywide Multimodal Arterial Plan that tier off of the adopted Alameda County Countywide Transportation Plan vision and goals. These will be developed in coordination with local jurisdictions, transit agencies, Caltrans and stakeholders to ultimately serve the purpose of creating a comprehensive, integrated Countywide Multimodal Arterial Plan. The vision, goals and objectives will reflect current transportation planning trends and legislative context in terms of multimodal needs, greenhouse gas reduction, and complete street approaches. It will enable the Plan to address future travel demand of all modes of transportation using the arterials; effective land use and transportation integration; coordinated TDM/TSM strategies, parking and traffic management; and efficient and safe local goods movement and delivery; improved travel safety, economic development, and regional connectivity.

Deliverable: Technical memorandum documenting the vision, goals and objectives for the Countywide Multimodal Arterial Plan and the process of their development.

Task 5: Develop Multimodal Performance Measures

This task will develop a set of multimodal performance measures that will be used to evaluate the Arterial Network consistent with and to meet the established goals and objectives and assess the network's existing and future performance. While most of the performance measures are anticipated to be quantifiable, qualitative measures can also be included if they better represent the performance assessment of a particular function. The performance measures should also have the ability to identify or measure the application of the transportation planning and corridor operations concepts such as "Complete Streets, Fix it First and ITS methodologies" and transportation demand and system management. These performance measures must be developed in coordination with other modal plans currently being developed by Alameda CTC.

Deliverables: Technical memorandum documenting the list of multimodal performance measures and development methodology, and data sources for use in determining system performance and to evaluate projects.

Task 6: Develop Roadway Typology,

Based on the work done in previous tasks, this task will develop a roadway typology in terms of how the Arterial Network supports transit, bicycle and pedestrian, and automobile travel while serving the adjacent land uses. Using a roadway typology structure to frame the Arterial Network will provide a basis for determining coordinated modal priorities, which are

compatible to the adjacent land uses, between jurisdictions and across the county and will help identify effective transportation improvements for each mode to ultimately develop a seamless multimodal network.

Deliverable: Technical memorandum and related maps documenting the process for developing the roadway typology and outcome.

Task 7: Identify Future Short and Long-Term Improvements by Mode and other Supportive Operational Programs and Strategies

This task includes several activities or sub-tasks that will ultimately lead to identification of multimodal improvements in terms of projects and programs prioritization and strategies development. Using the performance measures and data collected, and considering the roadway typology, the Arterial Network will be updated and evaluated to identify short and long-term improvements by mode to address existing needs and accommodate future growth as identified in previous tasks that will meet the purpose, goals and objectives of the Plan. Modes and operational programs that should be considered in the evaluation and in making recommendations for improvements include, but are not limited to:

- Roadways
- Transit
- Bicycle and Pedestrian
- TDM/TSM and Parking
- Goods Movement
- Traffic Management/Intelligent Transportation System (ITS) (see Task 8)
- Climate Initiative Programs

For the evaluation of the Arterial Network, Complete Streets and Fix-it-First concepts will be an important underlying principle for identifying future modal improvement measures and management strategies. For identifying improvements, all recommendations will need to be coordinated with other on-going modal plans work and existing and future planned efforts at the local, county, regional and state (e.g., Caltrans' Corridor System Management Plans and MTC's Climate Initiatives) levels.

Deliverables: Technical Memoranda and related maps documenting the performance evaluation process, results and assumptions; short and long term improvements and management strategies by mode and other supportive operational programs.

Task 7.1: Revisit and Re-evaluate the Arterial Network

Considering the additional data collected, and needs and improvements identified after the initial development of the Arterial Network in Task 1, this sub task will revisit and re-evaluate the Arterial Network for this Plan in terms of its reasonableness to meet the Plan goals and objectives, and update the network, as applicable.

Deliverable: Technical memorandum documenting the process for re-evaluating the Arterial Network and outcome and updating the Arterial Network, including maps.

Task 8: Develop Traffic Management Coordination Strategies, Policies and Best Practices

This task will identify strategies, policies and best practices for better inter-agency coordination and effective governance for implementation of the Traffic Management/ITS improvements and management strategies developed in Task 7. The task will identify areas that need on-going coordination and document or address consistency or compatibility issues in traffic management technologies used between adjacent jurisdictions. Communication between the traffic management systems along a contiguous arterial network and the connecting freeway and transit networks is essential for ensuring better mobility, travel reliability and modal connectivity along the Arterial Network. Considering the numerous owners and/or operators involved in the functioning of the traffic management system on the Arterial Network in Alameda County, working with the respective agencies, local jurisdictions, Caltrans and transit operators to identify management strategies, policies and best practices will be critical to the success of future improvements on the Arterial Network.

Deliverables: Technical memorandum documenting Traffic Management Coordination Strategies, Policies and Best Practices.

Task 9: Develop an Implementation and Financial Plan

The implementation and financial plan will document the phasing and timing of identified improvements by transportation mode to prioritize improvements to attract funding. It will identify responsible lead/participating agencies and recommendations for monitoring progress and improvements. This task will also identify the Plan elements that will need periodic updates and monitoring, including data needs, timelines for updates and responsible agencies. The financial plan will consist of a capital, operations and maintenance plan that includes cost estimates as well as potential funding sources. Capital costs for multimodal, freight, and parking supportive infrastructure improvements will also be included.

Deliverables: Technical memoranda documenting the implementation and financial plan, Development of an initial 5-year list of priority projects and programs, including costs and schedules.

Task 10: Prepare Administrative, Draft and Final Plan

This task assumes that an administrative, draft and final document for the Plan will be produced. Responses to two rounds of comments per document should be assumed. The final document will include a stand-alone Executive Summary and will include a compilation of the technical memoranda in the format of a Countywide Multimodal Arterial Corridor Plans.

Deliverables: Administrative, Draft and Final Countywide Multimodal Arterial Corridor Mobility Plan.

Task 11: Develop and Implement Technical, Public and Stakeholder Outreach Strategy

Develop and implement a public and stakeholder outreach strategy that provides for effective participation and is as inclusive as possible. Considering that the arterials traverse the local jurisdictions and that they are owned and operated by the local jurisdictions and Caltrans, coordination with the Alameda County cities, the county along with Caltrans and MTC is anticipated. Similar to the other modal plans, the Technical Team for this Plan development is expected to be provided by the existing Alameda County Technical Advisory Committee (ACTAC). Public outreach could include workshops in coordination with other modal plans and possibly up to four Transportation Forums.

Deliverables: Technical memorandum detailing the technical, public and stakeholder participation approach and timeline.

Task 12: Project Management and Coordination with other Countywide Planning Efforts

The Alameda CTC is embarking on the development of four countywide planning efforts: Goods Movement, Transit, integration and update of Community Based Transportation Plans, and Multimodal Arterial Plan. In addition to overall project management, the development of the Countywide Multimodal Arterial Plan include this task for coordination with the development of the other three plans, including meetings and stakeholder input, and community outreach, if needed. Close coordination with the transit and goods movement plan is particularly important and will occur throughout the Countywide Multimodal Arterial Plan development process.

Schedule

The consultant selected to perform this work is anticipated to commence in spring 2014 and complete the final plan by the end of 2015.

Fiscal Impact: The fiscal impact for approving this item is \$800,000, which was included in the budget adopted for FY 13-14.

Staff Contacts

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

[Saravana Suthanthira](#), Senior Transportation Planner

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Memorandum

5.3

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Countywide Multimodal Plans Work Program Update

RECOMMENDATION: Receive an update on the preliminary work program for development and adoption of the Goods Movement Study, Countywide Transit Plan, Integrated Community Based Transportation Plan, and the Countywide Multimodal Arterial Corridor Plan.

Summary

The Alameda CTC will develop four different modal plans in calendar years 2014 and 2015, with anticipated adoption of these plans in summer or fall 2015. The Goods Movement Study has just begun, and Alameda CTC is currently selecting consultants for the Countywide Transit Plan. Requests for Proposals will be issued for the Integrated Community Based Transportation Plan and Countywide Multimodal Arterial Corridor Plan in 2014.

Alameda CTC staff proposes using ACTAC as the technical advisory group for all of these modal plans in order to minimize the number of additional meetings that other agency and jurisdiction staff are requested to attend and to facilitate coordination of the development of these plans. To the extent possible, regularly scheduled ACTAC meetings will be used to present information and draft documents and solicit feedback from jurisdiction and other agency staff. A detailed schedule for each plan will be provided to ACTAC members so that they are able to incorporate these modal planning efforts into their own work programs. An overview of the Goods Movement Plan, schedule and technical committee engagement will be presented as part of this item during the ACTAC meeting. Handouts will be provided at the meeting.

Background

The scope of work for the Countywide Goods Movement Collaborative and Plan was presented to and approved by the Alameda CTC in June 2013. Since that time, staff has provided regular updates on the Goods Movement Collaborative and Plan to both ACTAC and the Commission.

The scope of work for the Countywide Transit Plan and Integrated Community Based Transportation Plan was presented to and approved by the Commission in September

2013. A Request for Proposals (RFP) for the Countywide Transit Plan was released in November 2013, and staff anticipates contracting with a consultant team in January 2014. Staff anticipates releasing RFPs for the Countywide Multimodal Arterial Corridor Plan in the first quarter of 2014 and later in 2014 for the Integrated Community Based Transportation Plan to allow the transit plan to get underway and lay the groundwork for the Integrated Community Based Transportation Plan.

Fiscal Impact:

- 1) There is no fiscal impact anticipated at this time.

Staff Contacts

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

[Kara Vuicich](#), Senior Transportation Planner



Memorandum

6.1

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Alameda CTC At Risk Monitoring Reports

RECOMMENDATION: Approve the State Transportation Improvement Program (STIP), Federal Surface Transportation/Congestion Mitigation and Air Quality (STP/CMAQ), and Transportation for Clean Air (TFCA) At Risk monitoring reports dated December 31, 2013.

Summary

The Alameda CTC monitors the projects programmed with State Transportation Improvement Program (STIP), Federal Surface Transportation/Congestion Mitigation and Air Quality (STP/CMAQ), and Transportation for Clean Air (TFCA) County Program Manager funds for compliance with the respective program requirements and provides periodic updates to the Commission. The attached At Risk reports are dated December 31, 2013.

Background

Project sponsors are responsible for meeting the milestone deadlines associated with each of the monitored fund sources. The At Risk reports assign projects to zones of risk based on the status of the monitored activities at the time of the report date. Red zone projects are considered at a relatively high risk of non-compliance with the requirements, Yellow zone projects at moderate risk, and Green zone projects at low risk. The durations included in the criteria are intended to provide adequate time for project sponsors to perform the required activities to meet the deadline(s). A project may have multiple activities that indicate multiple zones of risk. Projects with multiple risk factors are listed in the zone of higher risk.

The STIP and STP/CMAQ reports are based on information provided to the Alameda CTC's project monitoring team by project sponsors as well as information made available by other funding agencies such as the Metropolitan Transportation Commission (MTC) and Caltrans Local Assistance. The Alameda CTC requests project sponsors provide copies of certain documents related to the required activities to verify that the deadlines have been met. The requested documentation may include copies of material submitted by the sponsor to agencies such as MTC, Caltrans and the California Transportation Commission (CTC). The TFCA report is based on status information on file with the Alameda CTC.

STIP At Risk Report

The attached STIP At Risk report (Attachment A) includes projects monitored for compliance with the STIP "Timely Use of Funds" provisions. The criteria for determining the project zones are listed near the end of the report. The risk zone associated with each risk factor is indicated in the tables following the report. Note that for the STIP "Complete Expenditures" deadline, sponsors are to provide documentation supported by their accounting department as proof that the deadline has been met.

STP/CMAQ At Risk Report

The attached STP/CMAQ At Risk report (Attachment B) includes locally-sponsored, federally-funded projects monitored for compliance with the requirements set forth in MTC's Regional Project Delivery Policy (MTC Resolution 3606, revised July 23, 2008). Appendix B of the report provides the Resolution 3606 deadlines associated with each of the required activities. Sponsors of STP/CMAQ projects are requested to note the following:

- For projects programmed in federal fiscal year (FFY) 2013/14, the deadline to submit a request for authorization (RFA) is February 1, 2014 and the deadline to obligate funding (receive E-76 or FTA transfer) is April 30, 2014.
- Projects in the three local federal Safety Programs: Highway Safety Improvement Program (HSIP), High Risk Rural Roads Program (HR3), and Safe Routes to School Program (SRTS) have been added to the STP/CMAQ report. As of November 2010, MTC has been enforcing the provisions of MTC Resolution 3606 for all local safety programs. Per MTC, sponsors with local safety funds not obligated by the deadline are ineligible for future programming.
- The deadline for submitting the environmental package one year in advance of the obligation deadline for right of way or construction capital funding is tracked and reported, but is not affiliated with a zone of risk.
- MTC will be revising Resolution 3606 in early 2014. Once approved, all projects will be subject to the revised provisions and associated deadlines, with the following exception: for the revised RFA and E-76 deadlines, FFY 2015/16 is proposed to be the transitional year for the revised (earlier) dates.

TFCA At Risk Report

The attached TFCA TUF report (Attachment C) includes active and recently completed projects programmed with Alameda County TFCA Program Manager funds and monitored for TFCA program compliance. In this report, twenty projects are in the Red zone with required activities due within four months (of the report date of December 31, 2013). Of these, fourteen are in the Red zone for unexecuted funding agreements. There are two projects in the yellow zone for activities due within seven months and seven projects in the Green zone with required activities that are not due for eight months or

more. The nine recently completed projects listed at the end of the report have met the monitored requirements and will be removed from future reports.

Next steps

The next reporting cycle is anticipated late spring 2014.

Fiscal Impact

There is no fiscal impact.

Attachments

- A. STIP At Risk Report, dated December 31, 2013
- B. STP/CMAQ At Risk Report, dated December 31, 2013
- C. TFCA At Risk Report, dated December 31, 2013

Staff Contacts

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[James O'Brien](#), Project Controls Team

[Jacki Taylor](#), Program Analyst

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STIP At Risk Report
STIP-RIP Locally-Sponsored Alameda County Projects

Status Date: December 31, 2013

Red Zone Projects

Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
1	0057J	Caltrans	SR-24 Caldecott Tunnel 4th Bore Landscaping						
	RIP	\$1,100	CE	13/14	Allocate Funds	6/30/14	R		R
	RIP	\$500	Con	13/14	Allocate Funds	6/30/14	R		
	RIP	\$400	PSE	12/13	Complete Expend	6/30/15	G	\$400K Allocated 6/11/13	
2	2014U	GGBHTD	SF Golden Gate Bridge Barrier						
	RIP	\$12,000	Con	11/12	Allocate Funds	12/31/13	R	18-Mo Ext App'd May 12 \$20M Total RIP - \$12M Ala	R

End of Red Zone

Yellow Zone Projects

Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
3	2100F	Alameda Co.	Cherryland/Ashland/Castro Valley Sidewalk Imps.						
	RIP-TE	\$1,150	Con	10/11	Accept Contract	11/1/14	Y	\$1,150 Allocated 5/12/11 Awarded Nov 2011	G
4	2103	BART	Oakland Airport Connector						
	RIP	\$20,000	Con	10/11	Accept Contract	9/1/14	Y	App'd into STIP and allocated 9/23/10 Awarded Oct 2010	G
5	2140S	LAVTA	Rideo Bus Restoration Project						
	RIP-TE	\$200	Con	10/11	Accept Contract	8/10/14	Y	\$200 Allocated 5/12/11 from SM County Reserve Contract Awd 8/10/11	G
6	2009K	LAVTA	Satellite Bus Operating Facility (Phases 1 & 2)						
	RIP	\$4,000	Con	11/12	Accept Contract	11/7/14	Y	Note 3 \$4M Alloc'd 6/23/11 PTA Contract Awd 11/7/11	G

End of Yellow Zone

Page 1 of 5

Green Zone Projects (cont.)

Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase FY		Required Activity	Date Req'd By	Zone	Notes	Prev Zone
7	2009A	AC Transit	Maintenance Facilities Upgrade						
	RIP	\$3,705	Con	06/07	Project Being Removed from Report		\$3,705K Allocated 9/7/06	G	
8	2009B	AC Transit	SATCOM Expansion						
	RIP	\$1,000	Con	06/07	Project Being Removed from Report		\$1,000K Allocated 9/7/06	G	
9	2009C	AC Transit	Berkeley/Oakland/San Leandro Corridor MIS						
	RIP	\$2,700	Env	06/07	Project Being Removed from Report		\$2,700K Allocated 4/26/07	G	
10	2009D	AC Transit	Bus Component Rehabilitation						
	RIP	\$4,500	Con	06/07	Project Being Removed from Report		\$4.5M Allocated 7/20/06	G	
11	2009Q	AC Transit	Bus Purchase						
	RIP	\$14,000	Con	06/07	Project Being Removed from Report		\$14M Allocated 10/12/06	G	
12	0044C	Alameda CTC	I-880 Reconstruction, 29th to 23rd						
	RIP	\$2,000	PSE	10/11	Final Invoice/Report		NA	R	
13	0062E	Alameda CTC	I-80 Integrated Corridor Mobility						
	RIP	\$954	Env	07/08	Project Being Removed from Report		\$954 Allocated 9/5/07 Contra Costa RIP	G	
14	0081H	Alameda CTC	RT 84 Expressway Widening (Segment 2)						
	RIP	\$34,851	Con	16/17	Allocate Funds	6/30/17	G	G	
	RIP-TE	\$2,179	Con	16/17	Allocate Funds	6/30/17	G		
15	0139F	Alameda CTC	Rt 580, Landscaping, San Leandro Estudillo Ave - 141st						
	RIP-TE	\$350	Con	10/11	Accept Contract	7/26/15	G	\$350K Allocated 10/27/11 3-Mo Ext for Awd 5/23/12 Contract Awarded 7/26/12	G
16	2100K	Alameda CTC	I-880 Landscape/Hardscape Improvements in San Leandro						
	RIP-TE	\$400	PSE	09/10	Final Invoice/Report		NA	\$400K Allocated 6/30/10 12-Mo Ext App'd April 2012	R
17	2179	Alameda CTC	Planning, Programming and Monitoring (Note 2)						
	RIP	\$1,563	Con	12/13	Complete Expend	6/30/15	G	\$1,563 Allocated 6/28/12	G
	RIP	\$750	Con	13/14	Complete Expend	6/30/16	G	\$750K Allocated 8/6/13 effective 7/1/13 (SB184)	
	RIP	\$886	Con	16/17	Allocate Funds	6/30/17	G		
18	2009Y	BART	Ashby BART Station Concourse/Elevator Imps						
	RIP-TE	\$1,200	Con	07/08	Project Being Removed from Report		\$1,200 Allocated 6/26/08 Completed 3/31/13	G	

Green Zone Projects (cont.)

Index	PP No. Source	Sponsor Prog'd Amount (\$x 1,000)	Project Title Phase FY		Required Activity	Date Req'd By	Zone	Notes	Prev Zone
19	9051A	BATA	Improved Bike/Ped Connectivity to East Span SFOBB						
	RIP-TE	\$3,063	Con	16/17	Allocate Funds	6/30/17	G	Added in 2012 STIP	G
20	2009W	Berkeley	Ashby BART Station Intermodal Imps						
	RIP	\$4,614	Con	07/08				\$4,614 Allocated 6/26/08	G
	RIP	\$1,500	Con	09/10	Project Being Removed from Report			AB 3090 App'd 8/28/08 \$1.5M Allocated 9/10/09	
21	2100G	Berkeley	Berkeley Bay Trail Project, Seg 1						
	RIP-TE	\$1,928	Con	10/11	Final Invoice/Report		NA	\$1,928 Allocated 12/15/11 Awarded 5/29/12	G
22	2100H	Dublin	Alamo Canal Regional Trail, Rt 580 undercrossing						
	RIP-TE	\$1,021	Con	10/11	Final Invoice/Report		NA	\$1,021 Allocated 8/11/11 Contract Awd 2/7/12 Accepted 2/19/13	G
23	2100	MTC	Planning, Programming and Monitoring ²						
	RIP	\$114	Con	12/13	Complete Expend	6/30/15	G	\$114 Allocated 6/27/12 effective 7/1/12 (SB184)	G
	RIP	\$122	Con	14/15	Allocate Funds	6/30/15	G		
	RIP	\$118	Con	13/14	Complete Expend	6/30/16	G	\$118K Allocated 6/11/13 effective 7/1/13 (SB184)	
	RIP	\$126	Con	15/16	Allocate Funds	6/30/16	G		
	RIP	\$131	Con	16/17	Allocate Funds	6/30/17	G		
24	1022	Oakland	Rte. 880 Access at 42nd Ave./High St., APD						
	RIP	\$5,990	R/W	07/08	Project Being Removed from Report			\$5.99M Allocated 12/13/07	G
25	2100C1	Oakland	MacArthur Transit Hub Improvement, 40th St						
	RIP-TE	\$193	Con	07/08	Project Being Removed from Report			\$193 Allocated 7/26/07	G
26	2103A	Oakland	Oakland Coliseum TOD						
	RIP-TE	\$885	Con	10/11	Final Invoice/Report		NA	\$885 Allocated 6/23/11 Contract Awd 11/10/11 Completed 3/13/13	Y
27	2110	Union City	Union City Intermodal Station						
	RIP	\$4,600	Con	07/08	Project Being Removed from Report			\$4.6M Allocated 9/5/07	G
	RIP	\$720	Con	05/06				\$720K Allocated 11/9/06	
	RIP-TE	\$5,307	Con	05/06				\$5,307K Allocated 11/9/06	
	RIP-TE	\$2,000	Con	06/07				\$2,000K Allocated 11/9/06	
	RIP	\$9,787	Con	06/07				\$9,787K Allocated 11/9/06 6-Mo Ext App'd 9/23/10 for Accept Contract - Site Imps accepted 11/19/10	

End of Green Zone

Notes:

- 1** The "Date Req'd By" for the required activity is before the status date of this report. Sponsor is working with Caltrans, MTC and Alameda CTC to expedite/complete the required activity and/or satisfy the requirement.
- 2** PPM funds programmed in the Con phase are not subject to the typical construction phase requirements. Once PPM funds are allocated, the next deadline is "Complete Expenditures."
- 3** Transit projects receiving State-only funds are subject to project specific requirements in agreements with Caltrans (Federal funds are typically transferred to FTA grant).

2012 STIP -Timely Use of Funds Provisions

The Timely Use of Funds and At Risk reports monitor the STIP Timely Use of Funds Provisions included in the current STIP Guidelines as adopted by the CTC. The current Timely Use of Funds Provisions are as follows:

Required Activity	Timely Use of Funds Provision
Allocation	For all phases, by the end (June 30th) of the fiscal year identified in the STIP.
Construction Contract Award ¹	Within six (6) months of allocation.
Accept Contract (Construction)	Within 36 months of contract award.
Complete Expenditures	For Env, PSE, & R/W funds, costs must be expended by the end of the second FY following the FY in which the funds were allocated.
Final Invoice/Project Completion (Final Report of Expenditures)	For Env, PSE, & R/W funds, within 180 days (6 months) after the end of the FY in which the final expenditure occurred. For Con funds, within 180 Days (6 months) of contract acceptance.

Zone Criteria

The Timely Use of Funds and At Risk reports utilize the deadlines associated with each required activity of the STIP Timely use of Funds Provisions to assign a zone of risk. The following zone criteria was developed for each of these risk zones (Red, Yellow, & Green). For the Final Invoice, this activity is tracked but no zone of risk is assigned.

Required Activity	Criteria Timeframes for Required Activities		
	Red Zone	Yellow Zone	Green Zone
Allocation -Env Phase	within four months	within four to eight months	All conditions other than Red or Yellow Zones
Allocation -PS&E Phase	within six months	within six to ten months	All conditions other than Red or Yellow Zones
Allocation -Right of Way Phase	within eight months	within eight to twelve months	All conditions other than Red or Yellow Zones
Allocation -Construction Phase	within eight months	within eight to twelve months	All conditions other than Red or Yellow Zones
Construction Contract Award	within six months	within six to eight months	All conditions other than Red or Yellow Zones
Accept Contract	within six months	within six to twelve months	All conditions other than Red or Yellow Zones
Complete Expenditures	within eight months	within eight to twelve months	All conditions other than Red or Yellow Zones
Final Invoice/Project Completion (Final Report of Expenditures)	NA	NA	NA

Other Zone Criteria

Yellow Zone	STIP /TIP Amendment pending
Red Zone	Extension Request pending

Notes:

1. Statute requires encumbrance by award of a contract for construction capital and equipment purchase within twelve months of allocation. CTC Policy is six months.

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Red Zone Projects

Index	TIP ID	Sponsor		Project Title		Required Activity	Date Req'd By	Zone	Notes	Prev Zone
		Source	Prog'd Amount (\$x 1,000)	Phase	FY					
1	ALA130022	Alameda	Alameda City Complete Streets	PE	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-04	NA
						Obligate Funds	04/30/14	Y		
	STP	\$130		Con	14/15	Submit Req for Auth	02/01/15	G		
						Obligate Funds	04/30/15	G		
2	HSIP4-04-002	Alameda	Shoreline Dr - Westline Dr - Broadway Improvements	Con	11/12	Submit Req for Auth	Note 1	R	See Note 2	R
						Obligate Funds	01/11/14	R		
	HSIP	\$348		PE	11/12	Complete Closeout	01/12/16	G		
						Liquidate Funds	07/12/15	G		
3	HSIP4-04-010	Alameda	Park Street Operations Improvements	Con	11/12	Submit Req for Auth	01/12/14	R	See Note 2	Y
						Obligate Funds	04/12/14	Y		
	HSIP	\$607		PE	11/12	Complete Closeout	04/12/16	G		
4	ALA090069	Ala County	Alameda County: Rural Roads Pavement Rehab	Con	11/12	Award Contract	Note 1	R	\$1,815 Obligated 4/4/12	R
						Submit First Invoice	Note 1	R		
	STP	\$1,815		PE	10/11	Liquidate Funds	04/04/18	G		
						Liquidate Funds	03/16/17	G		
5	ALA050035	Ala County	Cherryland/Ashland/CastroValley/Fairview SidwIkImp	PE	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-03	NA
						Obligate Funds	04/30/14	Y		
	CMAQ	\$130		Con	14/15	Submit Req for Auth	11/01/14	G		
						Obligate Funds	02/01/15	G		
6	ALA110026	Ala County	Alameda Co - Central Unincorporated Pavement Rehab	Con	11/12	Award Contract	Note 1	R	\$1,071 Obligated 4/4/12	R
						Submit First Invoice	Note 1	R		
	STP	\$1,071		PE	10/11	Liquidate Funds	04/04/18	G		
						Liquidate Funds	03/23/17	G		
7	ALA130018	Ala County	Alameda Co-VariouS Streets and Roads Preservation	PE	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-04	NA
						Obligate Funds	04/30/14	Y		
	STP	\$100		Con	14/15	Submit Req for Auth	02/01/15	G		
						Obligate Funds	04/30/15	G		

Red Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title			Required Activity	Date	Zone	Notes	Prev Zone	
			Source	Prog'd Amount (\$x 1,000)	Phase						FY
8	H3R1-04-031	Ala County	Patterson Pass Road - PM6.4 Widen or Improve Shoulder								
			HRRR	\$717	Con	12/13	Submit Req for Auth	Note 1	R	See Note 2	R
							Obligate Funds	Note 1	R		
							Liquidate Funds	06/30/15	G		
				Complete Closeout	12/31/15	G					
	HRRR	\$101	PE	Prior	Liquidate Funds	06/30/15	G	\$101 Obligated 12/19/08			
9	HSIP2-04-024	Ala County	Castro Valley Blvd - Wisteria St Intersection and Frontage Improvements								
			HSIP	\$577	Con	11/12	Liquidate Funds	Note 1	R	See Note 2	R
							Complete Closeout	03/31/14	R	Obligated 9/19/12	
			HSIP	\$59	PE	Prior				Obligated 8/14/09	
	HSIP	\$63	R/W	Prior				Obligated 2/15/11			
10	HSIP2-04-027	Ala County	Remove Permanent Obstacle along Shoulder (Foothill Road)								
			HSIP	\$427	Con	10/11	Liquidate Funds	03/30/14	R	See Note 2	R
							Complete Closeout	09/30/14	Y	Con Obligated 8/11/13	
	HSIP	\$59	PE	Prior				PE Obligated 2/23/09			
11	SRTS1-04-001	Ala County	Fairview Elementary School Vicinity Improvements								
			SRTS	\$508	Con	10/11	Liquidate Funds	Note 1	R	See Note 2	R
							Complete Closeout	03/31/14	G	Obligated 9/19/12	
	SRTS	\$77	PE	Prior				Obligated 1/29/09			
12	ALA110007	Berkeley	City of Berkeley Transit Action Plan - TDM								
			CMAQ	\$10	Con	11/12	Obligate Funds	Note 1	R	Working with Caltrans and MTC to add to PE	R
	CMAQ	\$1,990	PE	10/11	Liquidate Funds	02/22/17	G	\$1,990 Obligated 2/22/11			
13	ALA110024	Dublin	Dublin Citywide Street Resurfacing								
			STP	\$547	Con	11/12	Award Contract	Note 1	R	\$547 Obligated 3/16/12	R
							Submit First Invoice	Note 1	R		
				Liquidate Funds	03/16/18	G					
14	ALA110034	Dublin	West Dublin BART Golden Gate Drive Streetscape								
			CMAQ	\$580	Con	11/12	Submit First Invoice	Note 1	R	\$580 Obligated 6/1/12 Contract Awd 9/18/12	R
	CMAQ	\$67	PE	10/11	Liquidate Funds	03/18/17	G	\$67 Obligated 3/18/11			

Red Zone Projects (cont.)

Index	TIP ID	Sponsor		Project Title		Required Activity	Date Req'd By	Zone	Notes	Prev Zone
		Source	Prog'd Amount (\$x 1,000)	Phase	FY					
15	SRTS3-04-007	Emeryville		San Pablo Avenue 43rd to 47th Pedestrian Safety						
		SRTS	\$696	Con	13/14	Submit Req for Auth	03/07/14	R	See Note 2	G
						Obligate Funds	06/17/14	G		
						Liquidate Funds	12/07/15	G		
						Complete Closeout	06/07/16	G		
	SRTS	\$52	PE	11/12			G	\$52 Obligated 5/4/12		
16	ALA110012	Fremont		Fremont CBD/Midtown Streetscape						
		CMAQ	\$1,114	Con	11/12	Award Contract	Note 1	R	\$1,114 Obligated 3/27/12	R
						Submit First Invoice	Note 1	R		
						Liquidate Funds	03/27/18	G		
		CMAQ	\$432	Con	10/11	Project Complete	NA		\$432 Obligated 4/13/11	
	CMAQ	\$54	Con	10/11	Project Complete	NA		\$54 Obligated 6/13/11		
17	ALA130020	Fremont		Fremont Various Streets and Roads Preservation						
		STP	\$2,105	Con	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-04	NA
					Obligate Funds	04/30/14	Y			
18	ALA130025	Fremont		Fremont City Center Multi-Modal Improvements						
		STP	\$5,333	Con	13/14	Submit Req for Auth	02/01/14	R	TIP Amend 13-04	NA
						Obligate Funds	04/30/14	Y		
		STP	\$522	Con	14/15	Submit Req for Auth	02/01/15	G		
				Obligate Funds	04/30/15	G				
19	HSIP1-04-005	Fremont		Install Median Barrier, Install Raised Median and Improve Delineation (Mowry)						
		HSIP	\$164	Con	11/12	Liquidate Funds	Note 1	R	See Note 2	
						Complete Closeout	03/31/14	R	\$164 Obligated 3/7/13	
	HSIP	\$35	PE	Prior				Obligated 11/28/07		
20	HSIP2-04-018	Fremont		Replace Concrete Poles with Aluminum in Median (Paseo Parkway)						
		HSIP	\$183		Prior	Liquidate Funds	Note 1	R	See Note 2	R
					Complete Closeout	03/31/14	R	Con Obligated 4/19/11 PE Obligated 4/8/09		
21	HSIP4-04-020	Fremont		Fremont Blvd / Eggers Dr						
		HSIP	\$275	Con	13/14	Submit Req for Auth	Note 1	R	See Note 2	R
						Obligate Funds	01/11/14	R		
						Liquidate Funds	07/12/15	G		
						Complete Closeout	01/12/16	G		
		\$41	PE	Prior				Obligated 11/8/11		

Red Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title		Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
	Source	Prog'd Amount (\$x 1,000)									
22	HSIP4-04-022	Fremont	Fremont Blvd / Alder Ave								
	HSIP	\$348	Con	13/14		Submit Req for Auth	Note 1	R	See Note 2		R
						Obligate Funds	01/11/14	R			
						Liquidate Funds	07/12/15	G			
						Complete Closeout	01/12/16	G			
		\$43	PE	Prior					Obligated 11/8/11		
23	ALA110019	Hayward	Hayward Various Arterials Pavement Rehab								
	STP	\$1,336	Con	10/11		Award Contract	Note 1	R	\$1,336 Obligated 2/23/11		R
						Submit First Invoice	Note 1	R			
						Liquidate Funds	02/23/17	G			
24	ALA110035	Hayward	South Hayward BART Area/Dixon Street Streetscape								
	CMAQ	\$1,540	Con	11/12		Award Contract	Note 1	R	\$1,264 Obligated 4/4/12		R
						Submit First Invoice	Note 1	R	Amounts per Phase Adjusted		
						Liquidate Funds	04/04/18	G			
	CMAQ	\$260	PE	10/11		Liquidate Funds	01/18/17	G	\$536 Obligated 1/18/11		
25	ALA130013	Hayward	Hayward - Industrial Boulevard Preservation								
	STP	\$70	PE	13/14		Submit Req for Auth	02/01/14	R	TIP Amend 13-04		NA
						Obligate Funds	04/30/14	Y			
	STP	\$1,265	Con	14/15		Submit Req for Auth	02/01/15	G			
						Obligate Funds	04/30/15	G			
26	HSIP5-04-007	Hayward	West "A" Street between Hathaway and Garden								
	HSIP	\$22	PE	12/13		Submit Req for Auth	Note 1	R	New Cycle 5 Project		R
						Obligate Funds	Note 1	R	See Note 2		
	HSIP	\$139	CON	13/14		Submit Req for Auth	08/23/15	G	See Note 3		
						Obligate Funds	11/23/15	G			
						Complete Closeout	11/23/17	G			
27	ALA130010	Livermore	Livermore Various Streets Preservation								
	STP	\$1,053	CON	13/14		Submit Req for Auth	02/01/14	R	TIP Amend 13-04		NA
						Obligate Funds	04/30/14	Y			
28	ALA110029	Oakland	Oakland Foothill Blvd Streetscape								
	CMAQ	\$2,200	Con	11/12		Award Contract	Note 1	R	\$2,200 Obligated 4/4/12		R
						Submit First Invoice	Note 1	R			
						Liquidate Funds	04/04/18	G			

Red Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title			Required Activity	Date Req'd By	Zone	Notes	Prev Zone
			Source	Prog'd Amount (\$x 1,000)	Phase					
29	ALA130016	Oakland	Oakland Complete Streets			Submit Req for Auth	02/01/14	R	TIP Amend 13-04	NA
			CMAQ	\$467	PE	13/14	Obligate Funds	04/30/14		
	CMAQ	\$3,384	Con	15/16	Submit Req for Auth	02/01/16	G		NA	
					Obligate Funds	04/30/16	G			
30	HSIP2-04-004	Oakland	West Grand at Market, Macarthur at Fruitvale & Market at 55th Improvements			Liquidate Funds	03/30/14	R	See Note 2	G
						Complete Closeout	09/30/14	Y	Obligated 6/30/11	
31	HSIP2-04-005	Oakland	Various Intersections Pedestrian Improvements			Liquidate Funds	03/30/14	R	See Note 2	G
						Complete Closeout	09/30/14	Y	Obligated 7/8/11	
32	HSIP4-04-005	Oakland	San Pablo Ave - West St - W. Grand Ave Intersections			Submit Req for Auth	Note 1	R	See Note 2	Y
						Obligate Funds	03/13/14	Y		
						Liquidate Funds	09/13/15	G		
						Complete Closeout	03/13/16	G		
				\$71	PE	Prior				Obligated 1/23/12
33	HSIP4-04-011	Oakland	Bancroft Ave - 94th Ave Improvements			Submit Req for Auth	Note 1	R	See Note 2	R
						Obligate Funds	01/11/14	R		
						Liquidate Funds	07/12/15	G		
						Complete Closeout	01/12/16	G		
				\$87	PE	Prior				Obligated 1/23/12
34	HSIP4-04-012	Oakland	Hegenberger Rd Intersections			Submit Req for Auth	Note 1	R	See Note 2	R
						Obligate Funds	01/11/14	R		
						Liquidate Funds	07/12/15	G		
						Complete Closeout	01/12/16	G		
				\$162	PE	Prior				Obligated 1/25/12
35	HSIP5-04-011	Oakland	W. MacArthur Blvd. between Market & Telegraph			Submit Req for Auth	Note 1	R	New Cycle 5 Project	R
						Obligate Funds	Note 1	R		
						Liquidate Funds	08/23/15	G		See Note 3
						Obligate Funds	11/23/15	G		
				\$574	CON	13/14	Submit Req for Auth	08/23/15	G	

Red Zone Projects (cont.)

Index	TIP ID	Sponsor		Project Title		Required Activity	Date Req'd By	Zone	Notes	Prev Zone				
		Source	Prog'd Amount (\$x 1,000)	Phase	FY									
36	HSIP5-04-012	Oakland		98th Avenue Corridor		Submit Req for Auth	Note 1	R	New Cycle 5 Project	R				
								R			See Note 2			
						HSIP	\$99	PE	12/13	Obligate Funds	Note 1	R	See Note 2	R
												G		
37	HSIP5-04-013	Oakland		Market Street between 45th & Arlington		Submit Req for Auth	Note 1	R	New Cycle 5 Project	R				
								R			See Note 2			
						HSIP	\$558	CON	13/14	Submit Req for Auth	08/23/15	G	See Note 3	R
												G		
38	SRTS1-04-014	Oakland		Intersection Improvements at Multiple School (5 Elem. + 1 Middle)		Submit Req for Auth	08/23/15	G	See Note 3	R				
								G			See Note 3			
						SRTS	\$613	Prior	Liquidate Funds	Note 1	R	See Note 2	R	
											G			PE Obligated 3/2/08 Con Obligated 8/18/11
39	SRTS2-04-007	Oakland		Multiple School (5 Schools) Improvements Along Major Routes		Submit Req for Auth	Note 1	R	See Note 2	R				
								R			See Note 2			
						SRTS	\$753	Con	11/12	Liquidate Funds	03/31/14	G	Con Obligated 2/3/12	R
												G		
40	ALA130019	Piedmont		Piedmont Complete Streets (CS)		Submit Req for Auth	02/01/14	R	TIP Amend 13-04	NA				
								R			See Note 2			
						STP	\$129	Con	13/14	Obligate Funds	04/30/14	Y	See Note 2	NA
												G		
41	ALA110031	Pleasanton		Pleasanton - Foothill/I-580/IC Bike/Ped Facilities		Award Contract	02/01/14	R	\$709 Obligated 5/1/13	Y				
								R			See Note 2			
						CMAQ	\$709	Con	12/13	Submit First Invoice	06/01/14	G	Advertised 5/30/13	Y
												G		
42	ALA110010	Port		Shore Power Initiative		Award Contract	Note 1	R	\$3,000 Obligated 2/16/12	R				
								R			See Note 2			
						CMAQ	\$3,000	Con	11/12	Submit First Invoice	Note 1	R	Advertised 5/30/13	Y
												G		
43	ALA110027	San Leandro		San Leandro Downtown-BART Pedestrian Interface		Award Contract	Note 1	R	\$4,298 Obligated 2/28/12	R				
								R			See Note 2			
						CMAQ	\$4,298	Con	11/12	Submit First Invoice	Note 1	R	Advertised	R
												G		
CMAQ	\$312	PE	10/11	Liquidate Funds	12/21/16	G	\$312 Obligated 12/21/10	R						
						G			\$312 Obligated 12/21/10					

Red Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title		Required Activity	Date	Zone	Notes	Prev Zone		
			Source	Prog'd Amount (\$x 1,000)						Phase	FY
44	HSIP4-04-015	San Leandro	Washington Ave / Monterey Blvd		Submit Req for Auth	01/12/14	R	See Note 2	Y		
			Obligate Funds	04/12/14	Y						
			Liquidate Funds	10/12/15	G						
			Complete Closeout	04/12/16	G						
		\$66	PE	Prior			Obligated 12/15/11				
45	ALA090015	Union City	Union City Intermodal Station Infrastructure		Submit Req for Auth	02/01/14	R	TIP Amend 13-04	NA		
			CMAQ	\$8,692	CON	13/14	Obligate Funds			04/30/14	Y
46	ALA130023	Union City	Whipple Road Pavement Rehabilitation		Submit Req for Auth	02/01/14	R	TIP Amend 13-04	NA		
			STP	\$18	PE	13/14	Obligate Funds			04/30/14	Y
			STP	\$651	Con	14/15	Submit Req for Auth			02/01/15	G
							Obligate Funds			04/30/15	G
47	HSIP5-04-030	Union City	Alvarado Road between Decoto & Mann		Submit Req for Auth	Note 1	R	New Cycle 5 Project	R		
			HSIP	\$62	PE	12/13	Obligate Funds			Note 1	R
			HSIP	\$288	CON	13/14	Submit Req for Auth			08/23/15	G
							Obligate Funds			11/23/15	G
				Complete Closeout	11/23/17	G					

End of Red Zone

Yellow Zone Projects

Index	PP No.	Sponsor	Project Title		Required Activity	Date	Zone	Notes	Prev Zone		
			Source	Prog'd Amount (\$x 1,000)						Phase	FY
48	HSIP3-04-005	Fremont	Paseo Padre Parkway - Walnut to Washington - Replace Poles		Liquidate Funds	06/02/14	Y	Con Obligated 2/16/12 PE Obligated 11/18/10	G		
			HSIP	\$120	Con	12/13	Complete Closeout			12/02/14	G
			HSIP	\$23	PE	Prior					
49	HSIP3-04-006	Fremont	Paseo Padre Parkway - Walnut Ave and Argonaut Way		Liquidate Funds	06/02/14	Y	\$458 Obligated 4/11/13 Obligated 11/22/10	Y		
			HSIP	\$458	Con	12/13	Complete Closeout			12/02/14	G
			HSIP	\$59	PE	Prior					

End of Yellow Zone

Green Zone Projects

Index	TIP ID	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
50	ALA110119	AC Transit	AC Transit: Spectrum Ridership Growth	CMAQ	\$1,803	Con	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-05	NA
								Obligate Funds	04/30/15	G		
51	ALA110025	Alameda	Alameda - Otis Drive Rehabilitation	STP	\$837	Con	10/11	Liquidate Funds	03/08/17	G	\$837 Obligated 3/8/11 Awarded 5/17/11	G
52	ALA030002	Ala County	Vasco Road Safety Improvements Phase 1A	STP	\$235	ROW	14/15	Submit Req for Auth	02/01/15	G		G
								Obligate Funds	04/30/15	G		
				STP	\$1,785	Con	09/10	Liquidate Funds	08/31/16	G	\$1,785 Obligated 8/31/10 Contract awarded 6/7/11	
				STP	\$478	PE	12/13	Liquidate Funds	04/17/19	G	\$478 Obligated 4/17/13	
53	SRTS1-04-002	Ala County	Marshall Elementary School Vicinity Improvements	SRTS	\$450	Con	12/13	Liquidate Funds	11/01/14	G	See Note 2	G
								Complete Closeout	04/01/15	G	Obligated 9/19/12	
				SRTS	\$50	PE	Prior			G	Obligated 12/7/10	
54	ALA110009	Alameda CTC	Bikemobile - Bike Repair and Encouragement Vehicle	CMAQ	\$500	Con	10/11	Liquidate Funds	03/29/17	G	\$500 Obligated 3/29/11 Obligated w/ALA110033	G
55	ALA110033	Alameda CTC	Alameda County Safe Routes to School	CMAQ (OBAG)	\$2,000	Con	13/14	Liquidate Funds	10/24/19	G	TIP Amend 13-05	G
				CMAQ (RSRTS)	\$2,673	Con	13/14	Liquidate Funds	10/24/19	G		
				STP (RSRTS)	\$1,000	Con	13/14	Liquidate Funds	10/24/19	G	\$5,673 Obligated 10/24/13	
				CMAQ (RSRTS)	\$620	Con	10/11	Liquidate Funds	03/29/17	G		
				CMAQ	\$1,669	Con	10/11	Liquidate Funds	03/29/17	G	\$2,689 Obligated 3/29/11	
				STP	\$400	Con	10/11	Liquidate Funds	03/29/17	G	Obligated w/ALA110009	
56	ALA110122	Alameda CTC	Local PDA Planning - Alameda	STP	\$3,905	Con	15/16	Submit Req for Auth	02/01/16	G	TIP Amend 13-06	NA
								Obligate Funds	04/30/16	G		
57	ALA110030	Albany	Albany - Buchanan Bicycle and Pedestrian Path	CMAQ	\$1,702	Con	11/12	Liquidate Funds	06/01/18	G	\$1,702 Obligated 6/1/12 Contract Awd 10/15/12 1st Invoice dated 5/14/13 Fed-Aid No. 5178(012)	G
58	ALA110039	Albany	Albany - Pierce Street Pavement Rehabilitation	STP	\$117	Con	10/11	Liquidate Funds	05/02/17	G	Contract Awd 7/12/11 \$117 Obligated 5/2/11	G

Green Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title	Phase	FY	Required Activity	Date	Zone	Notes	Prev Zone
	Source	Prog'd Amount (\$x 1,000)					Req'd By			
59	ALA090068	BART	MacArthur BART Plaza Remodel							
	CMAQ	\$626	Con	10/11					\$626 Obligated 3/16/11 Transferred to FTA Grant	G
60	ALA110032	BART	Downtown Berkeley BART Plaza/Transit Area Imps.							
	CMAQ	\$4,066	Con	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04		G
					Obligate Funds	04/30/15	G			
	CMAQ	\$706	PE	10/11					\$706 Obligated 3/16/11	
	CMAQ	\$1,099	Con	10/11					\$1,099 Obligated 3/16/11 Transferred to FTA Grant	
61	ALA110038	BART	BART - West Dublin BART Station Ped Access Imps							
	CMAQ	\$21	PE	10/11					\$21 Obligated 2/2/11	G
	CMAQ	\$839	Con	10/11					\$839 Obligated 2/2/11 Transferred to FTA Grant	
62	ALA110121	BART	BART Train Car Accident Repair Project							
	STP	\$1,493	CON	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04		NA
					Obligate Funds	04/30/15	G			
63	ALA110022	Berkeley	Berkeley - Sacramento St Rehab - Dwight to Ashby							
	STP	\$955	Con	10/11	Liquidate Funds	03/18/17	G	\$955 Obligated 3/18/11 Contract Awd 7/19/11		R
64	ALA130012	Dublin	Dublin Boulevard Preservation							
	STP	\$470	CON	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04		NA
					Obligate Funds	04/30/15	G			
65	ALA130021	Emeryville	Emeryville - Hollis Street Preservation							
	STP	\$100	Con	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04		NA
					Obligate Funds	04/30/15	G			
66	HSIP2-04-009	Hayward	Carlos Bee Blvd between West Loop Rd and Mission Blvd							
	HSIP	\$725	Prior		Project Being Removed from Report					R
					Closeout Complete 2/13/13					
67	ALA110013	Livermore	Iron Horse Trail Extension in Downtown Livermore							
	CMAQ	\$1,566	Con	11/12	Liquidate Funds	04/04/18	G	\$1,241 Obligated 4/4/12 Contract Awd 7/23/12 First Invoice Dated 2/8/13 TLC Project Fed Aid (025)		G
68	ALA110015	Livermore	Livermore Downtown Lighting Retrofit							
	CMAQ	\$176	Con	10/11	Liquidate Funds	04/04/17	G	\$176 Obligated 4/4/11 Billing 1 dated 2/22/12 Fed Aid (024)		G

Green Zone Projects (cont.)

Index	TIP ID	Sponsor		Project Title		Date Req'd By	Zone	Notes	Prev Zone
		Source	Prog'd Amount (\$x 1,000)	Phase	FY				
69	ALA110023	Livermore	Livermore	Livermore - 2011 Various Arterials Rehab					
	STP	\$1,028	Con	10/11	Liquidate Funds	03/21/17	G	\$1,028 Obligated 3/21/11 Billing 1 dated 2/22/12 Fed Aid (023)	G
70	ALA110037	Livermore	Livermore	Livermore Village Plaza & Infrastructure					
				Project Being Removed from Report					R
				Funds Moved to ALA130011				TIP Amend 13-04	
71	ALA130011	Livermore	Livermore	Livermore Relocation and Restoration of R/R Depot					
	STP	\$2,500	CON	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	NA
					Obligate Funds	04/30/15	G		
72	ALA110016	Newark	Newark	Newark - Cedar Blvd and Jarvis Ave Pavement Rehab					
	STP	\$682	Con	11/12	Liquidate Funds	02/17/18	G	\$682 Obligated 2/17/12 1st Invoice 11/28/12	G
73	ALA110006	Oakland	Oakland	Various Streets Resurfacing and Bikeway Facilities					
	STP	\$3,492	Con	11/12	Liquidate Funds	02/16/18	G	\$3,492 Obligated 2/16/12 Awd 12/4/12	R
	STP	\$560	PE	10/11	Liquidate Funds	02/22/17	G	\$560 Obligated 2/22/11	
74	ALA110014	Oakland	Oakland	Oakland - MacArthur Blvd Streetscape					
	CMAQ	\$1,700	Con	10/11	Liquidate Funds	04/27/17	G	\$1.7M Obligated 4/27/11 Contract Dated 8/19/11	G
75	ALA130014	Oakland	Oakland	7th Street West Oakland Transit Village, Phase II					
	CMAQ	\$3,288	Con	15/16	Submit Req for Auth	02/01/16	G	TIP Amend 13-04	NA
					Obligate Funds	04/30/16	G		
76	ALA130017	Oakland	Oakland	Oakland - Peralta and MLK Blvd Streetscape Phase I					
	CMAQ	\$5,452	Con	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	NA
					Obligate Funds	04/30/15	G		
77	ALA130024	Oakland	Oakland	Lakeside Complete Streets and Road Diet					
	STP	\$4,846	Con	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	NA
					Obligate Funds	04/30/15	G		
78	ALA110021	Pleasanton	Pleasanton	Pleasanton Various Streets Pavement Rehab					
	STP	\$876	Con	10/11	Liquidate Funds	04/14/17	G	\$876 Obligated 4/14/11 Final Inv/Rep 10/30/12 Final Rep returned Prog Billing Dated 4/30/13	G
79	ALA130009	Pleasanton	Pleasanton	Pleasanton Complete Streets					
	STP	\$832	CON	14/15	Submit Req for Auth	02/01/15	G	TIP Amend 13-04	NA
					Obligate Funds	04/30/15	G		

Green Zone Projects (cont.)

Index	TIP ID	Sponsor	Project Title	Source	Prog'd Amount (\$x 1,000)	Phase	FY	Required Activity	Date Req'd By	Zone	Notes	Prev Zone
80	ALA110020	San Leandro	San Leandro - Marina Blvd Rehabilitation	STP	\$807	Con	10/11	Liquidate Funds	03/29/17	G	\$807 Obligated 3/29/11 Contract Awd 5/5/11	G
81	ALA130008	San Leandro	San Leandro Boulevard Preservation	STP	\$804	Con	14/15	Submit Req for Auth Obligate Funds	02/01/15 04/30/15	G G	TIP Amend 13-06	NA
82	HSIP5-04-019	San Leandro	Bancroft Ave/ Sybil Ave	HSIP	\$380	Con	15/16	Submit Req for Auth Obligate Funds Liquidate Funds Complete Closeout	08/23/15 11/23/15 05/23/17 11/23/17	G G G G	See Note 2 See Note 3	R
				HSIP	\$69	PE	12/13				\$69 Obligated 7/16/13	
83	SRTS3-04-017	San Leandro	Multiple Schools Bicycle and Pedestrian Safety	SRTS	\$410	Con	11/12	Liquidate Funds Complete Closeout	03/06/16 09/06/16	G G	See Note 2 \$410 Obligated 3/22/12	G
84	ALA110017	Union City	Union City - Dyer Street Rehabilitation	STP	\$861	Con	10/11	Liquidate Funds	04/13/17	G	\$861 Obligated 4/13/11 Contract Awd 6/14/11	G
85	ALA110028	Union City	Union City Blvd Corridor Bicycle Imp. Phase 1	CMAQ	\$860	Con	11/12	Liquidate Funds	03/22/18	G	\$860 Obligated 3/22/12 Contract Awd 6/12/12	R
86	ALA110036	Union City	Union City BART East Plaza Enhancements	CMAQ	\$4,450	Con	10/11	Liquidate Funds	02/02/17	G	\$4,450 Obligated 2/2/11 Contract Awd 6/28/11 FTA CA-95-X157	G

End of Green Zone

Notes:

- 1 MTC Reso 3606 deadline or the Safety Program Monitoring date is before the status date of this report. Sponsor is working with Caltrans, MTC and Alameda CTC to expedite/complete the required activity.
- 2 HSIP, SRTS and HRRR projects may have different timely use of funds provisions than the MTC Reso 3606 requirements. The values for "Date Req'd By" shown in this report are based on the Safety Program Delivery Status Reports - Complete Project Listing available from Caltrans Local Programs at www.dot.ca.gov/hq/LocalPrograms/HSIP/delivery_status.htm. For the purposes of this monitoring report, the Submit Request for Authorization dates are set to three months prior to the date shown for authorization in the Safety Program Delivery Status Reports, and the Liquidate Funds dates are set to six months prior to the date shown for Complete Closeout shown by Caltrans.
- 3 HSIP Cycle 5 projects are not yet included in an adopted TIP. Sponsors cannot request obligation until included in TIP. Projects with Cycle 5 programming requested in FY12/13 are shown in report with the same "Required Activity" and "Dates Required By" as other projects with FY 12/13 funding while they wait for the TIP approval.

Appendix A
Federal At Risk Report Zone Criteria
Required Activities per Resolution 3606 (Revised July 23, 2008)

Required Activities Monitored by CMA ¹	Criteria Timeframes for Required Activities		
	Red Zone	Yellow Zone	Green Zone
Request Project Field Review	Project in TIP for more than nine (9) months, or obligation deadline for Con funds within 15 months.	Project in TIP for less than nine (9) months, and obligation deadline for Con funds more than 15 months away.	All conditions other than Red or Yellow Zones
Submit Environmental Package	NA	NA	NA
Approved DBE Program and Methodology	NA	NA	NA
Submit Request for Authorization (PE)	within three (3) months	within three (3) to six (6) months	All conditions other than Red or Yellow Zones
Submit Request for Authorization (R/W)	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones
Submit Request for Authorization (Con)	within six (6) months	within six (6) to nine (9) months	All conditions other than Red or Yellow Zones
Obligation/ FTA Transfer	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones
Advertise Construction	within four (4) months	within four (4) to six (6) months	All conditions other than Red or Yellow Zones
Award Contract	within six (6) months	within six (6) to nine (9) months	All conditions other than Red or Yellow Zones
Award into FTA Grant	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones
Submit First Invoice	within two (2) months	within two (2) to four (4) months	All conditions other than Red or Yellow Zones
Liquidate Funds	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones Move to Appendix D
Project Closeout	within four (4) months	within four (4) to nine (9) months	All conditions other than Red or Yellow Zones

Other Zone Criteria

Red Zone Projects with funds programmed in the same FY for both a project development phase (i.e. Env or PSE) and a capital phase (i.e. R/W or Con) without the project development phase(s) obligated.

Yellow Zone Projects with an Amendment to the TIP pending.

Notes: ¹ See Appendix B for more information about the Required Activities and Resolution 3606.

Appendix B
Definitions of the Required Activities per Resolution 3606 (As revised July 23, 2008)

Index	Definition	Deadline
1	Req Proj Field Rev	
	Per MTC Resolution 3606-Revised, "Implementing agencies are required to request a field review from Caltrans Local Assistance within 12 months of approval of the project in the TIP ¹ , but no less than 12 months prior to the obligation deadline of construction funds. This policy also applies to federal-aid projects in the STIP. The requirement does not apply to projects for which a field review would not be applicable, such as FTA transfers, regional operations projects and planning activities. Failure for an implementing agency to make a good-faith effort in requesting and scheduling a field review from Caltrans Local Assistance within twelve months of programming into the TIP could result in the funding being reprogrammed and restrictions on future programming and obligations. Completed field review forms must be submitted to Caltrans in accordance with Caltrans Local Assistance procedures."	12 months from approval in the TIP ¹ , but no less than 12 months prior to the obligation deadline of construction funds.
2	Sub ENV package	
	Per MTC Resolution 3606-Revised, "Implementing agencies are required to submit a complete environmental package to Caltrans for all projects (except those determined Programmatic Categorical Exclusion as determined by Caltrans at the field review), twelve months prior to the obligation deadline for right of way or construction funds. This policy creates a more realistic time frame for projects to progress from the field review through the environmental and design process, to the right of way and construction phase. If the environmental process, as determined at the field review, will take longer than 12 months before obligation, the implementing agency is responsible for delivering the complete environmental submittal in a timely manner. Failure to comply with this provision could result in the funding being reprogrammed. The requirement does not apply to FTA transfers, regional operations projects or planning activities."	12 months prior to the obligation deadline for RW or Con funds. (No change)
3	Approved DBE Prog	
	Per MTC Resolution 3606-Revised, "Obligation of federal funds may not occur for contracted activities (any combination of environmental/ design/ construction/ procurement activities performed outside the agency) until and unless an agency has an approved DBE program and methodology for the current federal fiscal year. Therefore, agencies with federal funds programmed in the TIP must have a current approved DBE Program and annual methodology (if applicable) in place prior to the fiscal year the federal funds are programmed in the TIP. STP/CMAQ funding for agencies without approved DBE methodology for the current year are subject to redirection to other projects after March 1. Agencies should begin the DBE process no later than January 1 to meet the March 1 deadline. Projects advanced under the Expedited Project Selection Process (EPSP) must have an approved DBE program and annual methodology for the current year (if applicable) prior to the advancement of funds."	Approved program and methodology in place prior to the FFY the funds are programmed in the TIP.
4	Sub Req for Auth	
	Per MTC Resolution 3606-Revised, "In order to ensure funds are obligated or transferred to FTA in a timely manner, the implementing agency is required to deliver a complete funding obligation / FTA Transfer request package to Caltrans Local Assistance by February 1 of the year the funds are listed in the TIP. Projects with complete packages delivered by February 1 of the programmed year will have priority for available OA, after ACA conversions that are included in the Obligation Plan. If the project is delivered after February 1 of the programmed year, the funds will not be the highest priority for obligation in the event of OA limitations, and will compete for limited OA with projects advanced from future years. Funding for which an obligation/ FTA transfer request is submitted after the February 1 deadline will lose its priority for OA, and be viewed as subject to reprogramming."	February 1 of FY in which funds are programmed in the TIP.

Appendix B
Definitions of the Required Activities per Resolution 3606 (As revised July 23, 2008)

Index	Definition	Deadline
5	Obligate Funds/ Transfer to FTA	
	Per MTC Resolution 3606-Revised, "STP and CMAQ funds are subject to an obligation/FTA transfer deadline of April 30 of the fiscal year the funds are programmed in the TIP. Implementing agencies are required to submit the completed request for obligation or FTA transfer to Caltrans Local Assistance by February 1 of the fiscal year the funds are programmed in the TIP, and receive an obligation/ FTA transfer of the funds by April 30 of the fiscal year programmed in the TIP. For example, projects programmed in FY 2007-08 of the TIP have an obligation/FTA transfer request submittal deadline (to Caltrans) of February 1, 2008 and an obligation/FTA transfer deadline of April 30, 2008. Projects programmed in FY 2008-09 have an obligation request submittal deadline (to Caltrans) of February 1, 2009 and an obligation/FTA transfer deadline of April 30, 2009. No extensions will be granted to the obligation deadline."	April 30 of FY in which funds are programmed in the TIP.
6	Execute PSA	
	Per MTC Resolution 3606, "The implementing agency must execute and return the Program Supplement Agreement (PSA) to Caltrans in accordance with Caltrans Local Assistance procedures. The agency must contact Caltrans if the PSA is not received from Caltrans within 60 days of the obligation. This requirement does not apply to FTA transfers. Agencies that do not execute and return the PSA to Caltrans within the required Caltrans deadline will be unable to obtain future approvals for any projects, including obligation and payments, until all PSAs for that agency, regardless of fund source, meet the PSA execution requirement. Funds for projects that do not have an executed PSA within the required Caltrans deadline are subject to de-obligation by Caltrans."	Within 60 days of receipt of the PSA from Caltrans, and within six months from the actual obligation date. ²
7	Advertise Contract /Award Contract/Award into FTA Grant	
	Per MTC Resolution 3606-Revised, "For the Construction (CON) phase, the construction/equipment purchase contract must be advertised within 6 months of obligation and awarded within 9 months of obligation. However, regardless of the advertisement and award deadlines, agencies must still meet the invoicing deadline for construction funds. Failure to advertise and award a contract in a timely manner could result in missing the subsequent invoicing and reimbursement deadline, resulting in the loss of funding. Agencies must submit the notice of award to Caltrans in accordance with Caltrans Local Assistance procedures, with a copy also submitted to the applicable CMA. Agencies with projects that do not meet these award deadlines will have future programming and OA restricted until their projects are brought into compliance. For FTA projects, funds must be approved/ awarded in an FTA Grant within one federal fiscal year following the federal fiscal year in which the funds were transferred to FTA."	Advertised within 6 months of obligation and awarded within 9 months of obligation. FTA Grant Award: Within 1 year of transfer to FTA.
8	Submit First Invoice / Next Invoice Due	
	Per MTC Resolution 3606-Revised, "Funds for each federally funded (Environmental (ENV/ PA&ED), Preliminary Engineering (PE), Final Design (PS&E) and Right of Way (R/W) phase and for each federal program code within these phases, must be invoiced against at least once every six months following obligation. Funds that are not invoiced at least once every 12 months are subject to de-obligation. There is no guarantee that funds will be available to the project once de-obligated. Funds for the Construction (CON) phase, and for each federal program code within the construction phase, must be invoiced and reimbursed against at least once within 12 months of the obligation, and then invoiced at least once every 6-months there after. Funds that are not invoiced and reimbursed at least once every 12 months are subject to de-obligation by FHWA. There is no guarantee that funds will be available to the project once de-obligated. If a project does not have eligible expenses within a 6-month period, the agency must provide a written explanation to Caltrans Local Assistance for that six-month period and submit an invoice as soon as practicable to avoid missing the 12-month invoicing and reimbursement deadline. Agencies with projects that have not been invoiced against and reimbursed within a 12-month period, regardless of federal fund source, will have restrictions placed on future programming and OA until the project is properly invoiced. Funds that are not invoiced and reimbursed against at least once every 12 months are subject to de-obligation by FHWA."	For Con phase: Once within 12 months of Obligation and then once every 6 months thereafter, for each federal program code. For all other phases: Once within 6 months following Obligation and then once every 6 months thereafter, for each phase and federal program code.

Appendix B
Definitions of the Required Activities per Resolution 3606 (As revised July 23, 2008)

Index	Definition	Deadline
8a	Inactive Projects	
	Per MTC Resolution 3606-Revised, "Most projects can be completed well within the state's deadline for funding liquidation or FHWA's ten-year proceed-to-construction requirement. Yet it is viewed negatively by both FHWA and the California Department of Finance for projects to remain inactive for more than twelve months. It is expected that funds for completed phases will be invoiced immediately for the phase, and projects will be closed out within six months of the final project invoice. Funds that are not invoiced and reimbursed at least once every 12 months are subject to de-obligation by FHWA. There is no guarantee the funds will be available to the project once de-obligated."	Funds must be invoiced and reimbursed against once every 12 months to remain active.
9	Liquidate Funds	
	Per MTC Resolution 3606-Revised, "Funds must be liquidated (fully expended, invoiced and reimbursed) within six years of obligation. California Government Codes 16304.1 and 16304.3 places additional restrictions on the liquidation of federal funds. Generally, federal funds must be liquidated (fully expended, invoiced and reimbursed) within 6 state fiscal years following the fiscal year in which the funds were appropriated. Funds that miss the state's liquidation/ reimbursement deadline will lose State Budget Authority and will be de-obligated if not re-appropriated by the State Legislature, or extended (for one year) in a Cooperative Work Agreement (CWA) with the California Department of Finance. This requirement does not apply to FTA transfers."	Funds must be liquidated within six years of obligation.
10	Estimated Completion Date/Project Closeout	
	Per MTC Resolution 3606-Revised, "Implementing Agencies must fully expend federal funds on a phase one year prior to the estimated completion date provided to Caltrans. At the time of obligation, the implementing agency must provide Caltrans with an estimated completion date for that project phase. Any un-reimbursed federal funds remaining on the phase after the estimated completion date has passed, is subject to project funding adjustments by FHWA. Projects must be properly closed out within six months of final project invoice. Projects must proceed to construction within 10 years of federal authorization of the initial phase. Federal regulations require that federally funded projects proceed to construction within 10 years of initial federal authorization of any phase of the project. Furthermore, if a project is canceled, or fails to proceed to construction in 10 years, FHWA will de-obligate any remaining funds, and the agency is required to repay any reimbursed funds. If a project is canceled as a result of the environmental process, the agency does not have to repay reimbursed costs for the environmental activities. However, if a project is canceled after the environmental process is complete, or a project does not proceed to construction within 10 years, the agency is required to repay all reimbursed federal funds. Agencies with projects that have not been closed out within 6 months of final invoice will have future programming and OA restricted until the project is closed out or brought back to good standing by providing written explanation to Caltrans Local Assistance, the applicable CMA and MTC."	Est. Completion Date: For each phase, fully expend federal funds 1 year prior to date provided to Caltrans. Project Close-out: Within 6 months of final project invoice.

Notes:

- ¹ Approval in the TIP: For administrative/ minor TIP Amendments it is the date of Caltrans approval. For formal TIP Amendments, it is the date of FHWA approval.
- ² Per DOT letter from Caltrans Local Assistance to MPOs, regarding "Procedural Changes in Managing Obligations", dated 9/15/05.

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TFCA County Program Manager Funds

At Risk Report

Report Date: December 31, 2013

<u>Project No.</u>	<u>Sponsor</u>	<u>Project Title</u>	<u>Balances</u>	<u>Required Activity</u>	<u>Date Due</u>	<u>Activity Completed (Date or Y/N)</u>	<u>Notes</u>
RED ZONE (Milestone deadline within 4 months)							
09ALA07	AC Transit	Easy Pass Transit Incentive Program	TFCA Award	Agreement Executed	1/7/10	12/03/09	1st extension approved Oct '11 Expenditures complete Final Invoice received FMR received
			\$ 350,000	Project Start	Sep-09	Nov-09	
			TFCA Expended	Expend Deadline Met?	01/13/13	Yes	
			\$ 236,535	Final Report	Apr-13	Apr-13	
			Final Reimbursement	01/31/14			
11ALA03	Albany	Buchanan Bike Path	TFCA Award	Agreement Executed	1/5/12	06/01/12	Expenditure deadline Nov '13 Expenditures not complete FMR due Feb '14
			\$ 100,000	Project Start	Dec-12	Oct-12	
			TFCA Expended	Expend Deadline Met?	11/14/13		
			\$ -	Final Report	Feb-14		
			Final Reimbursement	12/31/14			
11ALA06	Fremont	North Fremont Arterial Management	TFCA Award	Agreement Executed	1/5/12	01/04/12	Expenditure deadline Nov '13 Expenditures not complete FMR due Feb '14
			\$ 256,000	Project Start	Dec-12	Nov-12	
			TFCA Expended	Expend Deadline Met?	11/14/13		
			\$ 82,114	Final Report	Feb-14		
			Final Reimbursement	12/31/14			
11ALA08	Hayward	Clawiter Road Arterial Management	TFCA Award	Agreement Executed	1/5/12	02/27/12	Expenditure deadline Nov '13 Expenditures not complete FMR due Feb '14
			\$ 190,000.00	Project Start	Dec-12	Feb-12	
			TFCA Expended	Expend Deadline Met?	11/14/13		
			\$ -	Final Report	Feb-14		
			Final Reimbursement	12/31/14			
11ALA13	Alameda CTC	Alameda County Guaranteed Ride Home (GRH) Program (FYs 11/12 & 12/13)	TFCA Award	Agreement Executed	1/5/12	07/05/11	Expenditure deadline Nov '13 Expenditures not complete FMR due Feb '14
			\$ 245,000	Project Start	Dec-12	Jan-12	
			TFCA Expended	Expend Deadline Met?	11/14/13		
			\$ 123,214	Final Report	Feb-14		
			Final Reimbursement	12/31/14			
12ALA02	Pleasanton	Pleasanton Trip Reduction Program (FY 12/13)	TFCA Award	Agreement Executed	2/1/13	2/6/13	Expenditure deadline Oct '14 Expenditures not complete FMR due Jan '14
			\$ 57,507	Project Start	Dec-13	Jul-12	
			TFCA Expended	Expend Deadline Met?	10/17/14		
			\$ -	Final Report	Jan-14		
			Final Reimbursement	12/31/15			
14ALA01	Alameda County	Fairmont Rd Class II Bike Lanes	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '16 3-year expenditure period approved
			\$ 90,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/16		
			\$ -	Final Report	Jan-17		
			Final Reimbursement	12/31/17			
14ALA02	Berkeley	Berkeley Citywide Bicycle Parking Project	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 155,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
			Final Reimbursement	12/31/16			
14ALA04	Fremont	Arterial Management Stevenson Blvd	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 76,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
			Final Reimbursement	12/31/16			
14ALA05	Hayward	"A" Street Signal Upgrade and Coordination	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 190,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
			Final Reimbursement	12/31/16			

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<u>Project No.</u>	<u>Sponsor</u>	<u>Project Title</u>	<u>Balances</u>	<u>Required Activity</u>	<u>Date Due</u>	<u>Activity Completed (Date or Y/N)</u>	<u>Notes</u>
RED ZONE (Milestone deadline within 4 months), continued							
14ALA06	Oakland	Adeline St Bikeway Gap Closure	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 51,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA07	Oakland	CityRacks Bicycle Parking Program Phase 10	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 88,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA08	Oakland/ Alameda CTC	East Bay Greenway	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 190,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA09	Pleasanton	Pleasanton Trip Reduction Program	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 118,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA10	San Leandro	San Leandro LINKS Shuttle	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 60,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA11	AC Transit	Route 51 Transit Signal Priority (TSP)	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 123,821	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA12	Alameda CTC	Alameda County Guaranteed Ride Home and Transportation Demand Management Services Information	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 270,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA13	Cal State - East Bay	Second BART to Campus Shuttle	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 130,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA14	LAVTA	Rte 53 Ace to BART Shuttle	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 120,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		
14ALA15	LAVTA	Rte 54 Ace to BART Shuttle	TFCA Award	Agreement Executed	Jan-14		Agreement to be executed Expenditure deadline Oct '15
			\$ 47,000	Project Start	Dec-14		
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		

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<u>Project No.</u>	<u>Sponsor</u>	<u>Project Title</u>	<u>Balances</u>	<u>Required Activity</u>	<u>Date Due</u>	<u>Activity Completed (Date or Y/N)</u>	<u>Notes</u>
YELLOW ZONE (Milestone deadline within 5-7 Months), continued							
08ALA01	Alameda CTC	Webster Street Corridor Enhancements Project	TFCA Award	Agreement Executed	1/8/09	12/16/08	3rd extension approved Sept '12 Expenditures complete Final Invoice to be received FMR due Jun '14
			\$ 420,000	Project Start	Jan-09	Jun-09	
			TFCA Expended	Expend Deadline Met?	12/22/13	Yes	
			\$ 236,372	Final Report	Jun-14		
				Final Reimbursement	12/31/14		
09ALA01	Alameda CTC	Webster St SMART Corridors	TFCA Award	Agreement Executed	1/7/10	7/7/09	2nd extension approved Sept '12 Expenditures complete Final Invoice to be received FMR due Jun '14
			\$ 400,000	Project Start	Oct-09	Jul-09	
			TFCA Expended	Expend Deadline Met?	12/22/13	Yes	
			\$ 327,145	Final Report	Jun-14		
				Final Reimbursement	12/31/14		
GREEN ZONE (Milestone deadline beyond 7 months)							
10ALA02	Alameda CTC	I-80 Corridor Arterial Management	TFCA Award	Agreement Executed	2/17/11	07/09/10	Expenditures complete Final invoice paid FMR due July 2015, after overall I-80 ICM project is operational.
			\$ 100,000	Project Start	Mar-11	Jul-10	
			TFCA Expended	Expend Deadline Met?	10/28/12	Yes	
			\$ 100,000	Final Report	Jul-15		
				Final Reimbursement	12/31/13	Oct-12	
10ALA04	Hayward	Traffic Signal Controller Upgrade and Synchronization	TFCA Award	Agreement Executed	2/17/11	01/26/11	1st extension approved 9/27/12 Expenditures complete FMR due Sept 2015 (2 years post-project)
			\$ 614,000	Project Start	Mar-11	Dec-10	
			TFCA Expended	Expend Deadline Met?	10/28/13	Yes	
			\$ 614,000	Final Report	Sep-15		
				Final Reimbursement	12/31/14	Jan-13	
11ALA01	Alameda	Park Street Corridor Operations Improvement	TFCA Award	Agreement Executed	1/5/12	06/13/12	1st extension approved Oct '13 Expenditure deadline Nov '14 Expenditures not complete FMR due Feb '15
			\$ 230,900	Project Start	Dec-12	Dec-12	
			TFCA Expended	Expend Deadline Met?	11/14/14		
			\$ -	Final Report	Feb-15		
				Final Reimbursement	12/31/15		
11ALA02	Alameda County	Mattox Road Bike Lanes	TFCA Award	Agreement Executed	1/5/12	01/24/12	1st extension approved Oct '13 Expenditure deadline Nov '14 Expenditures not complete FMR due Feb '15
			\$ 40,000	Project Start	Dec-12	Dec-12	
			TFCA Expended	Expend Deadline Met?	11/14/14		
			\$ 11,500	Final Report	Feb-15		
				Final Reimbursement	12/31/15		
11ALA09	Oakland	Traffic Signal Synchronization along Martin Luther King Jr. Way	TFCA Award	Agreement Executed	1/5/12	03/08/12	1st extension approved Oct '13 Expenditure deadline Nov '14 Expenditures not complete FMR due date Dec '15 (2 years post-project)
			\$ 125,000	Project Start	Dec-12	May-12	
			TFCA Expended	Expend Deadline Met?	11/14/14		
			\$ 36,489	Final Report	Feb-16		
				Final Reimbursement	12/31/15		
11ALA07	Hayward	Post-project Monitoring/Retiming activities for Arterial Mgmt project 10ALA04	TFCA Award	Agreement Executed	1/5/12	06/01/12	1st extension approved Oct '13 Expenditure deadline Nov '14 Expenditures not complete FMR due Sept '15
			\$ 50,300.00	Project Start	Dec-12	Feb-12	
			TFCA Expended	Expend Deadline Met?	11/14/14		
			\$ -	Final Report	Sep-15		
				Final Reimbursement	12/31/15		
14ALA03	East Bay Regional Park District	Iron Horse Trail Dublin/Pleasanton BART Santa Rita Road	TFCA Award	Agreement Executed	Jan-14	11/8/13	Expenditure deadline Oct '15 Expenditures not complete FMR due Jan '16
			\$ 180,000	Project Start	Dec-14	Jul-13	
			TFCA Expended	Expend Deadline Met?	10/29/15		
			\$ -	Final Report	Jan-16		
				Final Reimbursement	12/31/16		

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<u>Project No.</u>	<u>Sponsor</u>	<u>Project Title</u>	<u>Balances</u>	<u>Required Activity</u>	<u>Date Due</u>	<u>Activity Completed (Date or Y/N)</u>	<u>Notes</u>
Completed Projects (will be removed from the next monitoring report)							
11ALA04	Cal State - East Bay	CSUEB - 2nd Campus to BART Shuttle (FYs 11/12 & 12/13)	TFCA Award	Agreement Executed	1/5/12	11/08/11	Expenditures complete Final Invoice paid FMR received
			\$ 194,000	Project Start	Dec-12	Aug-11	
			TFCA Expended	Expend Deadline Met?	11/14/13	Yes	
			\$ 194,000	Final Report	Feb-14	Oct-13	
				Final Reimbursement	12/31/14	Dec-13	
11ALA05	Cal State - East Bay	Transportation Demand Management Pilot Program (FY 11/12)	TFCA Award	Agreement Executed	1/5/12	11/08/11	Expenditures complete Final Invoice paid FMR received
			\$ 52,000	Project Start	Dec-12	Sep-11	
			TFCA Expended	Expend Deadline Met?	11/14/13	Yes	
			\$ 52,000	Final Report	Dec-12	Dec-12	
				Final Reimbursement	12/31/13	Jun-13	
11ALA12	San Leandro	San Leandro LINKS Shuttle (FYs 11/12 & 12/13)	TFCA Award	Agreement Executed	1/5/12	11/08/11	Expenditures complete Final Invoice paid FMR received
			\$ 47,500	Project Start	Dec-12	Jul-11	
			TFCA Expended	Expend Deadline Met?	11/14/13	Yes	
			\$ 47,500	Final Report	Sep-13	Aug-13	
				Final Reimbursement	12/31/14	Oct-12	
12ALA01	Oakland	Broadway Shuttle: Fri and Sat Evening Extended Service (FY 12/13)	TFCA Award	Agreement Executed	2/1/13	12/14/12	Expenditures complete Final Invoice paid FMR received
			\$ 35,300	Project Start	Dec-13	Jul-12	
			TFCA Expended	Expend Deadline Met?	10/17/14	Yes	
			\$ 35,300	Final Report	Sep-13	Sep-13	
				Final Reimbursement	12/31/15	Aug-13	
12ALA03	Cal State - East Bay	CSUEB Second Shuttle - Increased Service Hours (FY 12/13)	TFCA Award	Agreement Executed	2/1/13	2/6/13	Expenditures complete Final Invoice paid FMR received
			\$ 56,350	Project Start	Dec-13	Sep-12	
			TFCA Expended	Expend Deadline Met?	10/17/14	Yes	
			\$ 56,350	Final Report	Sep-13	Oct-13	
				Final Reimbursement	12/31/15	Dec-13	
12ALA04	LAVTA	Route 10 - Dublin/Pleasanton BART to Livermore ACE Station and LLNL (FY 12/13 Operations)	TFCA Award	Agreement Executed	2/1/13	1/9/13	Expenditures complete Final Invoice paid FMR received
			\$ 144,346	Project Start	Dec-13	Jul-12	
			TFCA Expended	Expend Deadline Met?	10/17/14	Yes	
			\$ 144,346	Final Report	Sep-13	Aug-13	
				Final Reimbursement	12/31/15	Jul-13	
12ALA05	LAVTA	ACE Shuttle Service - Route 53 (FY 12/13 Operations)	TFCA Award	Agreement Executed	2/1/13	1/9/13	Expenditures complete Final Invoice paid FMR received
			\$ 34,180	Project Start	Dec-13	Jul-12	
			TFCA Expended	Expend Deadline Met?	10/17/14	Yes	
			\$ 34,180	Final Report	Sep-13	Aug-13	
				Final Reimbursement	12/31/15	Jul-13	
12ALA06	LAVTA	ACE/BART Shuttle Service - Route 54 (FY 12/13 Operations)	TFCA Award	Agreement Executed	2/1/13	1/9/13	Expenditures complete Final Invoice paid FMR received
			\$ 30,700	Project Start	Dec-13	Jul-12	
			TFCA Expended	Expend Deadline Met?	10/17/14	Yes	
			\$ 30,700	Final Report	Sep-13	Aug-13	
				Final Reimbursement	12/31/15	Jul-13	
12ALA07	BAAQMD	Port Truck Replacement Program (Model Years 2005/06)	TFCA Award	Agreement Executed	2/1/13	5/17/13	Agreement termination letter received from Air District 6/5/13. \$1.43M to be included in FY14/15 fund estimate.
			\$ 1,430,000	Project Start	Dec-13	NA	
			TFCA Expended	Expend Deadline Met?	10/17/14	NA	
			\$ -	Final Report	Sep-13	NA	
				Final Reimbursement	12/31/15	NA	

Report Milestone Notes

- Agreement Executed = Date TFCA Agreement executed by Alameda CTC
- Project Start = Date of project initiation
- Expend Deadline Met? = Expenditures were completed by established deadline (Yes/No)
- Final Report = Date final project reporting received by Alameda CTC
- Final Reimbursement = Date final invoice paid by Alameda CTC



Memorandum

6.2

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Alameda County Federal Inactive Projects List: December 2013 Update

RECOMMENDATION: Receive an update on the December 2013 Alameda County Federal Inactive Projects

Summary

Federal regulations require that agencies receiving federal funds invoice against their obligations at least once every six months. Projects that do not have invoicing activity over a six month period are placed on the Inactive Obligation list, and those projects are at risk of deobligation of the project's federal funds unless Caltrans and the Federal Highways Administration (FHWA) receive either an invoice or a valid justification for inactivity. Caltrans is tracking inactive obligations, and updating a list of inactive projects every week. If Caltrans and FHWA do not receive adequate invoicing or justification for the project's inactivity, the project may be deobligated.

Background

In response to FHWA's recently distributed new guidance for processing Inactive Obligations, Caltrans has developed new guidelines for managing federal inactive obligations. These new guidelines treat all federal-aid as well as the American Recovery and Reinvestment Act (ARRA) inactive projects equally. In order to manage these changes more proactively Caltrans is changing the management of "inactive projects" as follows beginning July 1, 2013:

- If the Department does not receive an invoice for more than six months, the project will be deemed "inactive" and posted on the Department's website. Local Agencies will be notified the first time projects are posted.
- If the Department does not receive an invoice within the following six months (12 months without invoicing), the Department will deobligate the unexpended balances.
- It is the responsibility of the local agencies to work in collaboration with their respective District Local Assistance Engineer's to ensure their projects are removed from the list to avoid deobligation.
- The Inactive project listing is posted at the following website and will be updated weekly: <http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>

Fiscal Impact: There is no fiscal impact.

Attachments

- A. Alameda County List of Federal Inactive Projects Report dated 12/17/13
- B. Justification Form

Staff Contact

[Matt Todd](#), Principal Transportation Engineer

[Vivek Bhat](#), Senior Transportation Engineer

ALAMEDA COUNTY LIST OF INACTIVE OBLIGATIONS

UPDATED BY CALTRANS ON DECEMBER 17, 2013

Updated on 12/17/2013

Project No (newly added projects highlight ed in GREEN)	Days until Inactive	FMIS transaction or deobligation by:	Agency/District Action Required	Prefix	Agency	Description	Latest Date	Authorization Date	Last Expenditure Date	Last Action Date	Total Cost	Federal Funds	Expenditure Amt	Unexpended Bal
5053024	Inactive	12/1/2013	Submit invoice by 09/09/2013-- Invoice past due. Contact DLAE.	CML	Livermore	LIVERMORE DOWNTOWN LIGHTING RETROFIT	10/9/2012	4/4/2011	10/9/2012	10/9/2012	257,820.00	176,000.00	149,750.62	26,249.38
6273032	Inactive	12/1/2013	Submit invoice by 6/27/2013-- Invoice past due. Contact DLAE.	HP21L	Alameda County Congestion Management Agency	SUNOL GRADE - ALAMEDA & SANTA CLARA CO. I-680, CONSTRUCT SOUNDWALL	7/27/2012	3/19/2004	7/27/2012	7/27/2012	12,708,000.00	2,232,000.00	2,086,281.70	145,718.30
5057019	59	2/14/2014	Records indicate project is in Final Voucher. District to verify.	CML	Berkeley	SAN PABLO AVE. CORRIDOR IN CITY OF BERKELEY , BICYCLE RELATED - OTHER	2/14/2013	4/1/2000	2/14/2013	2/14/2013	2,851,178.00	1,432,000.00	1,405,027.04	26,972.96
6481001	59	2/14/2014	Invoice under review by Caltrans. Monitor for progress.	CML	Alameda County Waste Management Authority	BAY AREA WIDE, EDUCATION AND OUTREACH FOR CLIMATE ACTION	2/14/2013	8/24/2011	2/14/2013	2/14/2013	980,000.00	867,000.00	309,780.41	557,219.59
5012093	87	3/14/2014	Submit invoice to District THIRTY days prior to date on left.	STPLZ	Oakland	CAMPUS DRIVE BRIDGE OVER TRIBUTARY TO LION CREEK; BR# 33C0238, SEISMIC RETROFIT	3/14/2013	4/19/2011	3/14/2013	3/14/2013	1,173,920.00	1,039,271.00	836,050.33	203,220.67
5012097	92	3/19/2014	Invoice under review by Caltrans. Monitor for progress.	HSIPL	Oakland	CITYWIDE INTERSECTIONS (14 LOCATIONS), COUNTDOWN PED. X- SIGNALS	3/19/2013	7/8/2011	3/19/2013	3/19/2013	116,018.00	80,640.00	17,009.09	63,630.91
6193009	100	3/27/2014	Submit invoice to District THIRTY days prior to date on left.	RPSTPLE	Livermore Amador Valley Transit Authority	LIVERMORE, BUS RESTORATION I-238 TO HAYWARD STATION, SR-92,	3/27/2013	6/14/2011	3/27/2013	3/27/2013	234,502.00	200,000.00	97,429.78	102,570.22
6000044	101	3/28/2014	Submit invoice to District THIRTY days prior to date on left.	STPLZ	San Francisco Bay Area Rapid Transit District	INDUSTRIAL BLVD, ALAMEDA CREEK AND UPRR, SEISMIC RETROFIT OF BART STRUCTURES, FREMONT LINE	3/28/2013	9/21/2010	3/28/2013	11/8/2013	12,181,617.00	2,657,664.00	1,884,984.07	772,679.93
5101027	102	3/29/2014	Submit invoice to District THIRTY days prior to date on left.	BPMP	Pleasanton	VARIOUS BRIDGES IN THE CITY OF PLEASANTON, BRIDGE PREVENTIVE MAINTENANCE	3/29/2013	3/29/2013		3/29/2013	124,300.00	110,043.00	0	110,043.00
5101028	102	3/29/2014	Submit invoice to District THIRTY days prior to date on left.	BHLS	Pleasanton	BRIDGE NO.33C0132 BERNAL AVE OVER ARROYO DE LA LAGUNA, CLEAN BRIDGE AND APPLY PROTECTIVE COATING	3/29/2013	3/29/2013		3/29/2013	101,750.00	90,079.00	0	90,079.00
5012100	114	4/10/2014	Submit invoice to District THIRTY days prior to date on left.	ESPLE	Oakland	7TH STREET FROM UNION TO PERALTA STREETS, PEDESTRAIN STREETSCAPE IMPROVE	4/10/2013	8/4/2009	4/10/2013	4/10/2013	4,070,044.00	3,630,000.00	3,470,509.81	159,490.19

ALAMEDA COUNTY LIST OF INACTIVE OBLIGATIONS

UPDATED BY CALTRANS ON DECEMBER 17, 2013

Updated on 12/17/2013

Project No (newly added projects highlighted in GREEN)	Days until Inactive	FMIS transaction or deobligation by:	Agency/District Action Required	Prefix	Agency	Description	Latest Date	Authorization Date	Last Expenditure Date	Last Action Date	Total Cost	Federal Funds	Expenditure Amt	Unexpended Bal
5432015	115	4/11/2014	Invoice returned to agency. Resubmit to District THIRTY days prior to date on the left.	CML	Dublin	GOLDEN GATE DRIVE, STREETSCAPE ENHANCEMENTS	4/11/2013	3/18/2011	4/11/2013	4/11/2013	1,189,250.00	647,000.00	104,965.20	542,034.80
6273053	115	4/11/2014	Submit invoice to District THIRTY days prior to date on left.	HPLUN	Alameda County Congestion Management Agency	I-880- 23RD. AVE. TO 29TH. AVE. INTERCHANGES,, REPLACE INTERCHANGES-OVERCROSS	4/11/2013	5/8/2009	4/11/2013	4/11/2013	2,249,750.00	1,787,000.00	1,628,695.47	158,304.53
5014037	122	4/18/2014	Submit invoice to District THIRTY days prior to date on left.	HSIPL	Alameda	SHORELINE DRIVE, WESTLINE DR, AND BROADWAY, REDUCE TRAVEL LANES FROM 4 TO 2; INSTALL BIKE LNS	4/18/2013	1/18/2012	4/18/2013	4/18/2013	75,300.00	67,770.00	64,542.79	3,227.21
6000014	122	4/18/2014	Submit invoice to District THIRTY days prior to date on left.	RPSTPL	San Francisco Bay Area Rapid Transit District	VARIOUS BART AERIAL STRUCTURES IN OAKLAND , SEISMIC RETROFIT	4/18/2013	6/12/2001	4/18/2013	4/18/2013	27,566,009.00	23,301,127.00	21,502,361.05	1,798,765.95
5012121	133	4/29/2014	Submit invoice to District THIRTY days prior to date on left.	BPMP	Oakland	HEGENBERGER RD. OVER SAN LEANDRO STREET- BRIDGE # 33C0202, BRIDGE PREVENTIVE MAINTENANCE	4/29/2013	4/29/2013		10/22/2013	761,250.00	673,935.00	0	673,935.00
5101026	134	4/30/2014	Submit invoice to District THIRTY days prior to date on left.	CML	Pleasanton	I-580 AT Foothill Rd, Foothill Rd: CANYON WAY NORTH TO I-580 WB RAMP, REALIGN FREEWAY RAMP FOR BIKE LANE GAP CLOSER	4/30/2013	4/30/2013		5/10/2013	3,960,000.00	709,000.00	0	709,000.00
5012087	143	5/9/2014	Submit invoice to District THIRTY days prior to date on left.	CML	Oakland	66TH AVE-FROM SAN LEANDRO TO INTERNATIONAL BLVD, STREETSCAPE	5/9/2013	3/30/2009	5/9/2013	5/9/2013	2,067,126.00	1,230,000.00	1,193,441.26	36,558.74
5012107	148	5/14/2014	Final invoice under review by Caltrans. Monitor for progress.	RPSTPLE	Oakland	OAKLAND COLISIUM, PED. WALKWAY, LANDSCAPE	5/14/2013	7/11/2011	5/14/2013	5/14/2013	1,241,770.00	885,000.00	754,772.29	130,227.71
6273065	148	5/14/2014	Submit invoice to District THIRTY days prior to date on left.	STPCML	Alameda County Congestion Management Agency	COUNTY WIDE, IMPLEMENT A COUNTYWIDE SR2S PROGRAM	5/14/2013	3/29/2011	5/14/2013	5/14/2013	3,604,000.00	3,189,000.00	1,312,825.06	1,876,174.94
5012114	155	5/21/2014	Submit invoice to District THIRTY days prior to date on left.	HSIPL	Oakland	BANCROFT AVE. / 94TH AVE., INSTALL TRAFFIC SIGNALS, CONSTRUCT CURB RAMPS	5/21/2013	1/23/2012	5/21/2013	5/21/2013	96,250.00	86,625.00	47,949.23	38,675.77
5012115	155	5/21/2014	Submit invoice to District THIRTY days prior to date on left.	HSIPL	Oakland	SAN PABLO @ WEST GRAND AVE. AND @ WEST STREET, UPGRADE SIGNALS/MODIFY INTERSECTIONS	5/21/2013	1/23/2012	5/21/2013	5/21/2013	79,200.00	71,280.00	69,513.78	1,766.22



QUARTERLY REVIEW OF **INACTIVE PROJECTS** JUSTIFICATION FORM SUMMARY



1. CT DIST - FEDERAL AID PROJECT NO.	2. STATE PROJECT NUMBER	3. RESPONSIBLE AGENCY	4. DATE

5. GENERAL LOCATION

6. GENERAL DESCRIPTION OF WORK (INCLUDE PROJECT PHASES WITH OBLIGATED FUNDS)

7. AUTHORIZATION DATE	8. FEDERAL-AID FUNDS AUTHORIZED	9. PGM CODE	10. PHASE (from E-76)	11. FEDERAL FUNDS EXPENDED TO DATE	12. UNEXPENDED FEDERAL FUNDS

TOTAL:

13. LAST ACTIVITY (BILLING DATE)

Important note: Caltrans and/or FHWA reserve the right to reject a Justification and deobligate the Federal Funds.

14. JUSTIFICATION (CHECK ONE OR MORE IF APPLICABLE)

- Litigation Filed**

 Environmental Delays

 Right of way, Utility Relocation Delays

Justification Forms without proper supporting documents will be rejected and returned to Agencies by Caltrans. Decision to accept or reject a Justification may be based exclusively on this form and supporting documentation.

15. LIST PROJECT HISTORY FROM INITIAL AUTHORIZATION OR FROM LAST BILLING. LIST CURRENT PROJECT STATUS/REASON FOR PROJECT BEING INACTIVE. PROVIDE BACKUP DOCUMENTATION.

16. ACTIONS TAKEN TO RESOLVE EXISTING ISSUE(S)

17. DATE ACTIVITIES TO BE RESUMED	18. DATE BILLINGS OR OTHER CORRECTIVE ACTION TO BE TAKEN (e.g. closure, withdrawal, et

19. CURRENT COST ESTIMATE NEEDED TO COMPLETE PROJECT	20. IF ESTIMATE IS LESS THAN UNEXPENDED BALANCE, AMOUNT TO BE DEOBLIGATED (Attach copy of E-76 requesting deobligation)

21. CONSEQUENCES IF FUNDS ARE DEOBLIGATED

22. ADDITIONAL DOCUMENTATION (LIST ATTACHMENTS) TO SUPPORT VALIDATION OF THIS OBLIGATION

23. AGENCY CONTACT	EMAIL	SIGNATURE	PHONE NUMBER	DATE

24. FORM REVIEWED AND RECOMMENDED FOR APPROVAL BY:

CT DISTRICT CONTACT NAME/TITLE	SIGNATURE	PHONE NUMBER	DATE



QUARTERLY REVIEW OF **INACTIVE PROJECTS** JUSTIFICATION FORM SUMMARY



Please go through the check list before submitting your justification form
(**DO NOT** leave anything blank)

#	Information Required	Additional Information	Check
1	Enter the District number and federal project number (including the project prefix, e.g. STPL)		
2	Enter State Project Number, if applicable		
3	Enter Responsible Agency		
4	Enter date you've completed the form		
5	Enter route information and location description		
6	Enter work description including project phases with obligated funds		
7	Enter date when funds were authorized. Use a separate line for each phase with authorized federal funds	Refer to the current inactive list/file posted in the web http://www.dot.ca.gov/hq/LocalPrograms/InactiveProjects/QuarterlyReviewofInactiveProjects.htm	
8	Enter authorized federal funds		
9	Enter all program code(s)		
10	Enter project phase (e.g. PE, RW, CON, etc.)	Use E-76 for this item	
11	Enter accumulated expenditure by program code	Refer to the current inactive list/file posted in the web http://www.dot.ca.gov/hq/LocalPrograms/InactiveProjects/QuarterlyReviewofInactiveProjects.htm	
12	Enter unexpended funds		
13	Enter last billing date		
14	Select the appropriate reason(s) for justification; for litigation filed, submit copy (with stamp) of the documents filed	http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm	
15	List project history	Include project timeline from the time of authorization or last financial transaction to present. e.g. original bid rejected - costs exceeded engineer estimate by XX%	
16	Action(s) taken to resolve the issue	Explain why previous commitment has not been met. e.g. to be re-advertised after additional funding determinations	
17	Enter date activities to be resumed	e.g. Revised date for contract award	
18	Enter billing dates or other corrective action to be taken		
19	Enter current cost estimate needed to complete		
20	Enter amount to be deobligated for unneeded funds		
21	Enter reason/consequences if funds are deobligated		
22	Additional back-up documentation	Copy of environmental approval; litigation; r/w acquisition; copy of invoice; proof that they have been working on a project since initial authorization; project timeline and funding plan; PSA; etc.	
23	Enter contact person from local agency	Person prepared the justification must sign the form	
24	DLAE approving official	Person reviewing and approving the justification must sign the form	

ANY INCOMPLETE JUSTIFICATION FORM WILL BE SENT BACK TO DLAE



Memorandum

6.3

1111 Broadway, Suite 800, Oakland, CA 94607 • PH: (510) 208-7400 • www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: Countywide Bicycle and Pedestrian Advisory Committee (BPAC)
Project Review Guidelines

RECOMMENDATION: Provide Input on Countywide BPAC Projects Review Guidelines

Summary

Alameda CTC staff proposes a new role for the Countywide BPAC reviewing and providing input on Measure B and Vehicle Registration Fee funded Transportation Expenditure Plan and discretionary funded capital projects, programs, and local master plans during early project development phases. The new role will enable the Countywide BPAC to play a meaningful role in the Alameda CTC's activities as the agency moves towards a coordinated programming model and will enable the Alameda CTC to comply with complete streets provisions in the draft TEP implementing guidelines. Staff has developed guidelines that outline the goals, roles and responsibilities, and timing and scope of Countywide BPAC project review. Sponsors of projects eligible for Countywide BPAC review will have new responsibilities to present to the Countywide BPAC as part of project or grant funding agreements.

Background

Proposed New Role for Countywide Bicycle Pedestrian Advisory Committee (BPAC)

The Alameda Countywide Bicycle Pedestrian Advisory Committee (BPAC) was formed in 2002 and has been an integral part of the bicycle and pedestrian related efforts of the Alameda CTC and its predecessor agencies since that time. The Countywide BPAC is comprised of 11 members that provide representation from across Alameda County. The Countywide BPAC engages interested residents to serve in an advisory capacity to the Alameda CTC.

Historically, one of the main functions of the Countywide BPAC has been to advise the Alameda CTC on the selection of projects to receive Measure B Countywide Discretionary Bicycle and Pedestrian Safety Program Funds. In this capacity, the Countywide BPAC has been involved in the development of program guidelines, including scoring criteria and weighting, the scoring of bicycle and pedestrian projects, and issuing a recommendation to the Alameda CTC on a proposed program of projects to receive funding. All final funding decisions remain with the Alameda CTC.

As part of the draft bylaws for Fiscal Year 13-14, staff proposes a modified role where the Countywide BPAC would offer input to the Alameda CTC and other partner agency sponsors on capital projects, programs, and plans during early development phases. This input will help ensure that the needs of bicyclists and pedestrians are identified and considered early in the project development process. Staff developed guidelines to implement this proposed new function that outline the goals of such reviews as well as the roles and responsibilities for project sponsors, for the Countywide BPAC, and for Alameda CTC staff.

Rationale for Shift in Countywide BPAC Role

Several factors contribute to the proposed shift in the role of the Countywide BPAC. First, with the Alameda CTC's growing practice of coordinated programming, considering individual funding sources in isolation is not a workable model. Coordinated programming enables significant opportunities to align multiple types of funds to projects that are outside of the Countywide BPAC's past role. A coordinated programming model places the focus on funding the best overall projects using a mix of fund sources rather than funding smaller, more limited projects within a number of separate categories.

Second, the Draft 2014 Alameda County Transportation Expenditure Plan includes a complete streets provision as part of its implementing guidelines that specifies that all transportation investments shall consider the needs of all modes and all users. The Countywide BPAC brings a user-perspective on biking and walking and is well-suited to advise Alameda CTC and other project sponsors so projects meet the needs of bicyclists and pedestrians and fulfill the TEP complete streets provision.

Finally, with the merger of the Alameda County Transportation Improvement Authority and the Alameda County Congestion Management Agency, the Alameda CTC has enhanced internal project selection and programming capabilities.

Overview of Project Review Guidelines

Attachment A provides the draft Countywide BPAC Project Review Guidelines. This document specifies a role for the Countywide BPAC in providing input to Alameda CTC and project sponsors in all types of projects including capital projects, programs, and local master plans. Countywide BPAC review would apply to specific projects identified in the TEP as well as projects funded as part of Measure B and Vehicle Registration Fee discretionary funding cycles, but not to projects undertaken using local direct program distribution ("pass-through") funds or funded solely with state or federal funds.

For capital projects, countywide BPAC review will include projects that are in early scoping or environmental phases. Countywide BPAC review could include non-bicycle and pedestrian projects, such as a local streets and roads or freeway/highway interchange projects that impacts the implementation of the Countywide Bicycle and Pedestrian Plans and complete streets requirements.

Alameda CTC staff will identify those projects for Countywide BPAC review. For those projects identified, Countywide BPAC review will be included as a task in project master funding agreements for TEP or in grant agreements for discretionary funded projects. Alameda CTC will work with project sponsors to schedule and sequence project review in a way that does not negatively impact expedient project delivery.

Timeline for Implementation

The Alameda County Technical Advisory Committee (ACTAC) and the Countywide BPAC will consider this item concurrently at their January meetings and provide input. Staff will then revise the bylaws and project review guidelines as appropriate for adoption by the Countywide BPAC in April 2014. Countywide BPAC review of projects could begin by October 2014.

Fiscal Impact:

There is no fiscal impact.

Attachments

- A. Alameda CTC Countywide Bicycle Pedestrian Advisory Committee Project Review Guidelines

Staff Contact

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

[Matthew Bomberg](#), Assistant Transportation Planner

[Matt Todd](#), Principal Transportation Engineer

[Vivek Bhat](#), Senior Transportation Engineer

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Alameda CTC Countywide Bicycle Pedestrian Advisory Committee Project Review Guidelines

Introduction

This document outlines the role of the Alameda CTC Countywide Bicycle and Pedestrian Advisory Committee (BPAC) in providing input to Alameda CTC and sponsor agency partners in early project development phases, as identified in the Countywide BPAC bylaws (Section 2.2.5). The document describes the goals of Countywide BPAC input as well as roles and responsibilities of project sponsors, the Countywide BPAC, and Alameda CTC staff.

While not covered in these guidelines, the Countywide BPAC also reviews and provides input on the progress and outcomes of Measure B and VRF funded bicycle and pedestrian projects and programs, per the Countywide BPAC bylaws (Section 2.2.3).

The following sections describe the Countywide BPAC review process for three major categories of Alameda CTC projects: capital projects, programs, and local master plans.

Capital Projects

This section provides an overview of the Countywide BPAC role in the review of capital projects. Feasibility studies of specific capital projects are included in this section as these represent the earliest project development phase of a capital project.

Goals of Review

The goals of Countywide BPAC review of capital projects include:

- Provide a bicyclist and pedestrian user perspective on the safety, comfort, and convenience of proposed transportation project designs or design alternatives.
- Assist project sponsors in developing bicycle and pedestrian facilities in a manner that is appropriate and sensitive to project context.
- Incorporate input at the ideal time in the life of a capital project
- Supplement the review of local BPACs, as applicable, with the input of bicyclists and pedestrians who represent each jurisdiction in the county as well as transit.

Relevant Projects

Alameda CTC staff will determine which capital projects are appropriate for Countywide BPAC review from the Transportation Expenditure Plan and from discretionary funding cycles. The following principles will be adhered to:

Alameda Countywide Bicycle Pedestrian Advisory Committee Project Review Guidelines

- Project development progress: Countywide BPAC review will include capital projects that are in an early project development phases, defined as projects that have not yet completed Preliminary Engineering (See Figure 1 for an illustration of typical capital project development phases). Focusing review on these projects will maximize effectiveness of input by targeting projects in which designs can still be impacted.
- Funding sources of projects: Countywide BPAC review of Alameda CTC funded projects will include:
 - Capital projects identified in the Measure B Transportation Expenditure Plan (TEP)
 - Capital projects receiving Measure B or Vehicle Registration Fee funds as part of a discretionary grant funding cycle.
 - Other projects as requested by project sponsorsProjects funded by local direct funding distribution¹ will not be required to undergo Countywide BPAC review.
- Bicycle/pedestrian nexus: Countywide BPAC review will include capital projects for which project design has a clear impact on countywide bicycle and pedestrian safety, comfort, convenience, and access/circulation. Review will not be limited to bicycle and pedestrian projects.

Roles/Responsibilities

- **Project sponsors** will be required to present information regarding project scope and impacts to biking and walking at a Countywide BPAC meeting. The presentation should provide information such a map of the project location, existing condition photos, and relevant project schematic drawings needed to clearly explain/demonstrate future biking and walking conditions. This presentation may be included as a task in the Alameda CTC grant agreement or project funding agreement. Project sponsors may request Countywide BPAC review if not required. Project sponsors must consider and respond to Countywide BPAC comments. Project sponsors may weigh Countywide BPAC suggestions against other considerations, as appropriate.
- **Countywide BPAC** will provide input on the proposed project design or design alternatives. Countywide BPAC input will focus on quality of project design rather than need for the project.
- **Alameda CTC staff** will determine which projects will benefit most from Countywide BPAC review. Staff will provide the Countywide BPAC with a list of projects from the TEP and from each discretionary funding cycle that clearly identifies which are eligible for Countywide BPAC review. Alameda CTC staff will work with project sponsors to facilitate scheduling of presentations to the Countywide BPAC.

¹ Formerly pass through funds

Programs

Goals of review

The goals of Countywide BPAC review of programs include:

- Provide input on the effectiveness of proposed curricula and other information distributed through programs
- Provide input on outreach/marketing plans, including suitable venues and means of communication to reach current or potential pedestrians and bicyclists in different areas of the county

Relevant Programs

Alameda CTC staff will determine which programs are appropriate for Countywide BPAC review at the conclusion of funding cycles. Countywide BPAC review of programs will include programs that improve the safety of biking and walking through education and enforcement, promote or encourage biking and walking, or support bicycle or pedestrian infrastructure. Programs must have an exclusive bicycle/pedestrian focus for Countywide BPAC review to be sought (e.g. Transportation Demand Management programs which seek to generally promote alternatives mode usage will not receive Countywide BPAC review).

Roles/Responsibilities

- **Project sponsors** will be required to present at a Countywide BPAC meeting. The presentation should provide information such as an overview of proposed program goals, curriculum or messages, and communication and outreach strategy, as appropriate. This presentation will be included as a task in the Alameda CTC grant agreement.
- The **Countywide BPAC** will provide input consistent with the goals described above.
- **Alameda CTC staff** will determine which programs will benefit most from Countywide BPAC review. Staff will provide the Countywide BPAC with a list of programs from each discretionary funding cycle that clearly identifies which are eligible for Countywide BPAC review. Alameda CTC staff will work with sponsors to facilitate scheduling of presentations to the Countywide BPAC.

Local Master Plans

Goals of review

The goals of Countywide BPAC review of local master plans include:

- Provide input to ensure that local master plans will be coordinated and consistent with the Countywide Bicycle and Pedestrian Plan, with local plans in neighboring jurisdictions and with plans developed by transit operators that serve the jurisdiction. Such consistency will also assist in development of the Countywide Bicycle and Pedestrian Plans, which are built on local master plans.

Alameda Countywide Bicycle Pedestrian Advisory Committee Project Review Guidelines

- Provide input on proposed networks, programs, and project prioritization contained in local master plans from the perspective of bicyclists/pedestrians who travel through multiple jurisdictions or in combination with transit.
- Provide a bicyclist and pedestrian user perspective on the safety, comfort, and convenience of any proposed design guidelines contained within local master plans, as applicable.

Relevant Local Master Plans

Countywide BPAC review of plans/studies will include all bicycle and pedestrian master plans and strategies developed by local jurisdictions, transit operators, or other large institutions (e.g. University of California at Berkeley) in Alameda County receiving discretionary funds from Alameda CTC.

Roles/Responsibilities

- **Project sponsors** will be required to present at a Countywide BPAC meeting. This presentation should occur during the comment period on the draft version of the plan/strategy and should provide an overview of the draft document. This presentation will be included as a task in the Alameda CTC grant agreement.
- The **Countywide BPAC** will provide input consistent with the goals described above.
- **Alameda CTC staff** will identify master plans and will work with project sponsors to facilitate scheduling of presentations to the Countywide BPAC.

Other Provisions

- Alameda CTC staff will prepare an annual work plan for Countywide BPAC review that identifies which capital projects, programs, and plans will be reviewed during the meetings in the upcoming fiscal year.
- Alameda CTC staff will revisit these guidelines after a year and may make modifications, taking into consideration logistical constraints as well as the overarching goal of providing the Countywide BPAC with an opportunity to provide early and meaningful input for projects. The Countywide BPAC will be notified of any proposed changes.

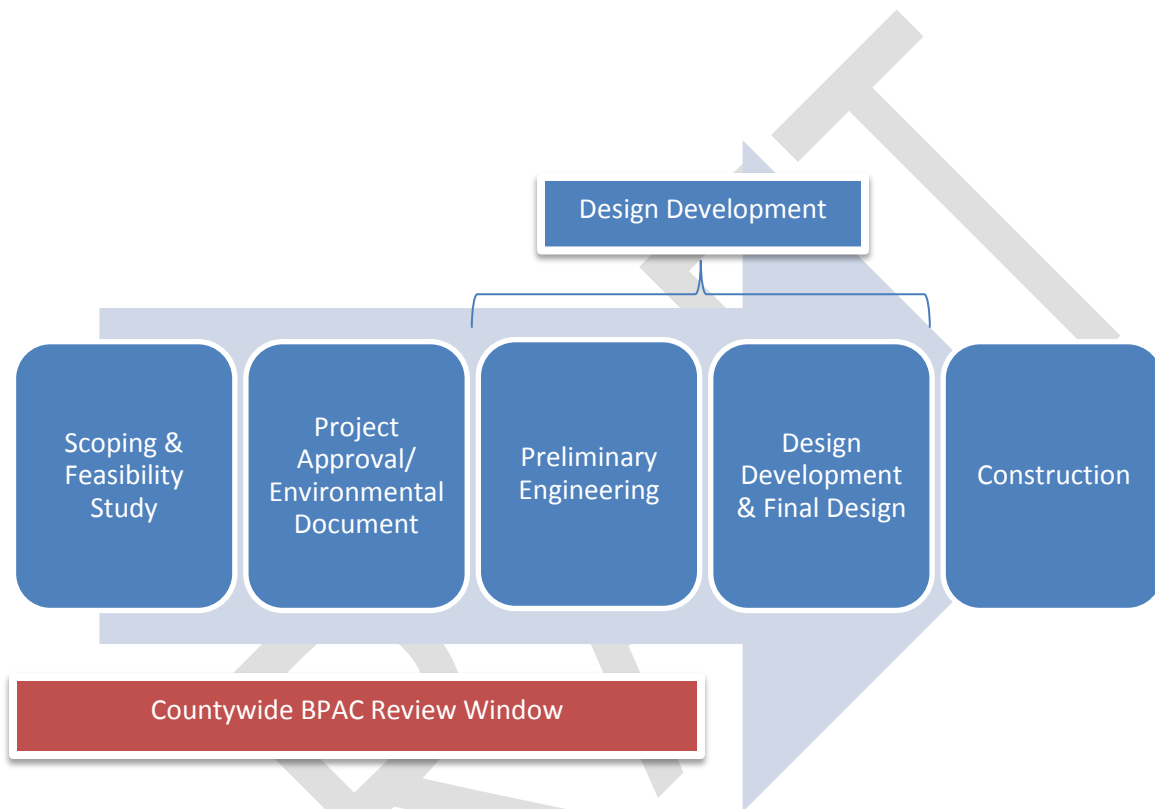


Figure 1: Capital Project Development Phases

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Memorandum

6.4

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

DATE: January 6, 2014

SUBJECT: California Transportation Commission December 2013 Meeting Summary

RECOMMENDATION: Receive an update on the December 2013 CTC Meeting.

Summary

The December 2013 California Transportation Commission (CTC) meeting was held at Riverside, CA. Detailed below is a summary of the three (3) agenda items of significance pertaining to Projects/Programs within Alameda County that were considered at the December 2013 CTC meeting (Attachment A).

Background

The California Transportation Commission is responsible for programming and allocating funds for the construction of highway, passenger rail, and transit improvements throughout California. The CTC consists of eleven voting members and two non-voting ex-officio members. The San Francisco Bay Area has three (3) CTC members residing in its geographic area: Bob Alvarado, Jim Ghielmetti and Carl Guardino.

Detailed below is a summary of the three (3) agenda items of significance pertaining to Projects / Programs within Alameda County that were considered at the December 2013 CTC meeting.

1. 2014 Active Transportation Program Update and Fund Estimate

On September 26, 2013 the Governor signed legislation creating the Active Transportation Program (Senate Bill 99, Chapter 359 and Assembly Bill 101, Chapter 354). This legislation required the CTC, in consultation with an Active Transportation Program Workgroup, to develop program guidelines by March 26, 2014.

As a first step in the development of guidelines, Commission staff conducted a series of workgroup meetings, open to the public, to solicit input on key issues. Having gathered this input, staff developed the preliminary draft guidelines as a basis for continuing workgroup discussions.

The schedule for the development of the Active Transportation Program guidelines is proposed to include:

Workgroup and subgroup meetings	December 2013 – mid January
Guidelines hearing, South	January 23, 2014
Guidelines hearing, North	January 29, 2014
Guidelines to the Joint Legislative Budget Committee	February 3, 2104
Commission adopts Guidelines	March 20, 2014

The CTC also approved the 2014 Active Transportation Program (ATP) Fund Estimate. The new ATP will divide approximately \$120 million for active transportation projects between the state and regions subject to guidelines that will be adopted by the Commission. This replaces the current system of small-dedicated grant programs, which fund programs like Safe Routes to Schools, bicycle programs, and recreational trails. The intent of combining this funding is to improve flexibility and reduce the administrative burden of having several small independent grant programs.

Outcome: Approximately \$10 million ATP funds are estimated to be available for MTC Region; Alameda County share will be determined through MTC's Regional process.

2. State Highway Operation and Protection Program/Proposition 1B Trade Corridor Improvement Fund (SHOPP-TCIF) / I-580 Eastbound Truck Climbing Lane Project

The CTC approved de-allocation of \$10.1 million in Proposition 1B SHOPP-TCIF Program funds from the construction phase of the I-580 EB Truck Climbing Lane Project due to elements not attributed to the SHOPP-TCIF approved scope of work. The non-SHOPP-TCIF project elements will be delivered with alternative fund sources by Caltrans.

Outcome: The construction capital allocation will reduce to \$31.6 million.

3. Proposition 1B Local Bridge Seismic Retrofit Account (LBSRA)

The CTC allocated approximately \$2.1 million LBSRA funds for 2 projects in Alameda County.

Outcome: Allocation will provide \$1.7 million for the construction phase of City of Oakland's Embarcadero Street Bridge Project (over Lake Merritt Canal) and \$460,000 for the construction phase of City of Fremont's Niles Blvd Bridge Project (over BART, UPRR, & BNSF Railroad).

Fiscal Impact: There is no fiscal impact.

Attachments

- A. December 2013 CTC Meeting summary for Alameda County Project/Programs

Staff Contact

[Matt Todd](#), Principal Transportation Engineer

[Vivek Bhat](#), Senior Transportation Engineer

December 2013 CTC Summary for Alameda County Projects/ Programs

Sponsor	Program / Project	Item Description	CTC Action / Discussion
Caltrans	2014 Active Transportation Program (ATP)	CTC staff presented the 2014 ATP Fund Estimate and draft program guidelines.	Approved
Caltrans	State Highway Operation and Protection Program/Proposition 1B Trade Corridor Improvement Fund (SHOPP-TCIF) / I-580 Eastbound Truck Climbing Lane Project	De-allocation of \$10.1 Million in Proposition 1B SHOPP-TCIF Program funds from construction phase of I-580 EB Truck climbing lane project	Approved
Caltrans	Proposition 1B Local Bridge Seismic Retrofit Account (LBSRA)	\$1.7 Million for construction phase of City of Oakland's Embarcadero Street Bridge Project (over Lake Merritt Canal) and \$460K for construction phase of City of Fremont's Niles Blvd Bridge Project (over BART, UPRR, & BNSF Railroad)	Approved

http://www.dot.ca.gov/hq/transprog/ctcbooks/2013/12/13/00_ETA.pdf

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AGENDA

Topic	Estimated Time
1. Introductions (<i>Craig Tackabery, LSRWG Chair</i>) <ul style="list-style-type: none"> ▪ Nomination for CY2014 Partnership Local Streets and Roads Working Group 2nd Vice-Chair (<i>Craig Tackabery, LSRWG Chair</i>) ▪ Nomination for CY2014 Partnership Programming and Delivery Working Group Vice-Chair (<i>Eileen Ross, PDWG Chair</i>) ▪ Nomination for Partnership Technical Advisory Committee (PTAC) CY2014 Vice-Chair/ CY2015 Chair 	10 min
2. Review of Working Group Minutes* <p>A. Joint Partnership Local Streets and Roads/ Programming and Delivery Working Group – September 16, 2013* (<i>Craig Tackabery, LSRWG Chair</i>)</p>	5 min
3. Standing/ Programming Updates: <p>A. Federal Programs Delivery Update (STP/CMAQ, STIP-TE, Local Safety)* (<i>Marcella Aranda</i>)</p> <ul style="list-style-type: none"> ▪ DRAFT FFY 2013-14 Annual Obligation Plan* (Comments are due via email to maranda@mtc.ca.gov by Friday, December 6, 2013) ▪ DRAFT FFY 2012-13 Annual Listing of Obligated Projects** (Comments are due via email to Maranda@mtc.ca.gov by Thursday, December 12, 2013) ▪ Inactive Obligations Update * (The current Quarterly Inactive Obligations listing is available online at: http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm.) 	10 min
4. Federal/State Program Announcements: <p>A. Caltrans/FHWA/CalRTPA Announcements (DLAWUA)* (<i>Memo Only</i>) (Caltrans Division of Local Assistance has posted program updates/announcements to their website. Jurisdictions are encouraged to review the bulletins for program changes.)</p> <ul style="list-style-type: none"> i. Formal CMAQ Program Interim Guidance under MAP-21* (The Congestion Mitigation and Air Quality Improvement Program (CMAQ) Interim Guidance under MAP-21 is published in the federal register and available now for public comments. This Interim Guidance is effective November 12, 2013. Comments are due by Wednesday, December 18, 2013. http://www.fhwa.dot.gov/environment/air_quality/cmaq/policy_and_guidance/2013_guidance/ind ex.cfm) ii. Decision to Request Title and Summary for New California Road Repairs Act* iii. The APWA Center for Sustainability is Seeking Case Studies* (The APWA Center for Sustainability is collecting examples of case studies that demonstrate sustainability in public works. http://www.apwa.net/Media/2013/11/4/The-APWA-Center-for-Sustainability-is-seeking-case-studies) iv. Single Audit Act and Office of Management and Budget (OMB), Circular A-133* (Single Audit Reporting requirements reminder letter) v. Caltrans Local Assistance Federal-Aid Series Training Schedule (Caltrans has posted its registration link and schedule for upcoming federal-aid series training) 	

sessions. The next session is in **Union City on January 13-17, 2014.**
http://www.cce.csus.edu/conferences/caltrans/localAssistance/training_upcTraining.cfm)

- vi. Release of HSIP - Cycle 6 List of Approved Projects*
(On Thursday, November 14, 2013, Caltrans released the Final List of Approved Projects for the Highway Safety Improvement Program (HSIP) - Cycle 6. MPOs will be asked by the successful local agencies to amend these projects into their next FTIP amendments. The revised Backup Lists for each MPO are available at: http://www.dot.ca.gov/hq/LocalPrograms/HSIP/FTIP_Info.html)

5. Discussion Items:

- A. Proposed Regional Project Delivery Policy, Reso. 3606 Update Discussion* (Craig Goldblatt) 15 min
- B. Active Transportation Program (ATP)* (Kenneth Kao) 15 min
(The new Active Transportation Program has been posted to the Local Assistance website at: <http://www.dot.ca.gov/hq/LocalPrograms/programInformation.htm>)
 - i. ATP Workgroup Update
(Please visit to our website <http://www.catc.ca.gov/programs/ATP.htm> for information and updates about the workgroup meetings, including new meeting notices, meeting agendas, and prior meetings' notes)
- C. 2014 STIP Update* (Kenneth Kao) 10 min
- D. Federal Efficiencies Subcommittee Status Update (Kenneth Kao) 5 min
- E. 2013 LSRWG Work Plan Update (Craig Tackabery) 45 min
 - i. Draft Bay Area Cap and Trade Funding Framework* (Carolyn Clevenger/ Ken Kirkey)
 - ii. MAP-21 Asset Management and Performance Management NPRM Update * (Melanie Choy)
(Status of U.S. DOT performance management rules are available online at: <http://www.dot.gov/regulations/report-on-significant-rulemakings>)
 - iii. Pothole Report Update (Melanie Choy)
 - iv. Statewide Needs Assessment Update (Theresa Romell)

6. Informational Items: ("Memo Only" unless otherwise noted)

- A. TIP Update*
(The current TIP and subsequent TIP Revisions are available online at: <http://www.mtc.ca.gov/funding/tip/2011/revisions.htm>)
- B. PMP Certification Status*
(Current PMP Certification status is available online at: <http://www.mtcpms.org/ptap/cert.html>).
- C. PTAP Update (Christina Hohorst)
- D. Call for Nominations: Local Streets and Roads Project Awards*
(Nominations are **due no later than January 31, 2014** (electronic submittals only) for the Outstanding Local Streets and Roads Project Awards Program.)
- E. 2014 Local Streets and Roads Working Group Meeting Calendar*
(The 2014 Local Streets and Roads Working Group meeting calendar is available online at: http://www.mtc.ca.gov/meetings/schedule/2013_LSRWG_Tentative_Meeting_Schedule.pdf)
- F. 2014 Programming and Delivery Working Group Meeting Calendar*
(The 2014 Programming and Delivery Working Group meeting calendar is available online at: http://www.mtc.ca.gov/meetings/schedule/2013_PDWG_Tentative_Meeting_Schedule.pdf)

7. Recommended Agenda Items for Next Meeting: (All) 5 min

The next Joint LSRPDWG meeting:

Thursday, January 23 2014
9:30a – 12:30p, 1st Floor, Room 171
101-8th Street, Oakland 94607

* = Attachment in Packet ** = Handouts Available at Meeting

Contact Marcella Aranda at maranda@mtc.ca.gov if you have questions regarding this agenda.