



# Meeting Notice

1111 Broadway, Suite 800, Oakland, CA 94607

• 510.208.7400

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

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City of Oakland

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Mayor Pauline Cutter

**City of Union City**  
Mayor Carol Dutra-Vernaci

**Executive Director**  
Arthur L. Dao

## Programs and Projects Committee

**Monday, February 08, 2016, 12:00 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.

### Recording of Public Meetings

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

### Reminder

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

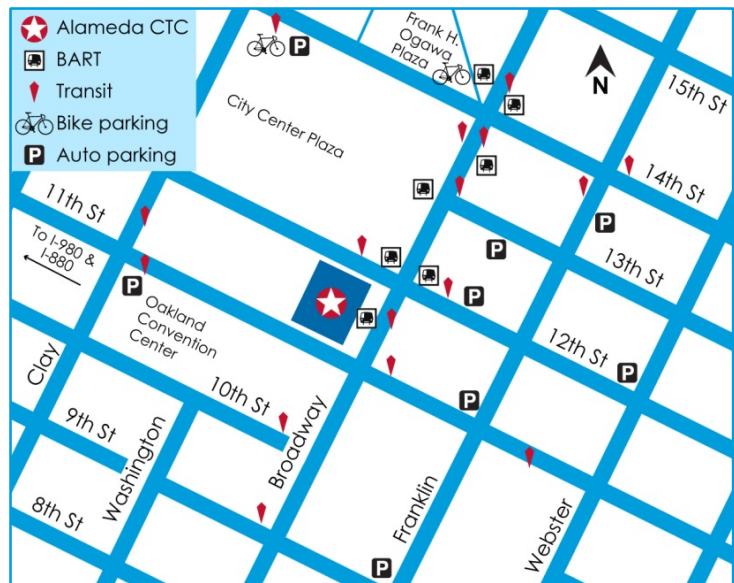
### Glossary of Acronyms

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

## Location Map

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

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



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

## Accessibility

Public meetings at Alameda CTC are wheelchair accessible under the Americans with Disabilities Act. Guide and assistance dogs are welcome. Call 510-893-3347 (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](http://www.AlamedaCTC.org/events/upcoming/now).

## Paperless Policy

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

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# Programs and Projects Committee Meeting Agenda Monday, February 8, 2016 12 p.m.

1111 Broadway, Suite 800, Oakland, CA 94607

PH: (510) 208-7400

www.AlamedaCTC.org

## 1. Pledge of Allegiance

## 2. Roll Call

## 3. Public Comment

**Chair:** Mayor Bill Harrison, City of Fremont

**Vice Chair:** Carol Dutra-Vernaci, Union City

**Commissioners:** Pauline Cutter, Luis Freitas, Nate Miley, Laurie Capitelli, Barbara Halliday

**Ex-Officio Members:** Scott Haggerty, Rebecca Kaplan

**Staff Liaison:** James O'Brien

**Executive Director:** Arthur L. Dao

**Clerk:** Vanessa Lee

## 4. Consent Calendar

Page A/I

4.1. [PPC Meeting Minutes: Approval of the January 11, 2016 Meeting Minutes](#)

1 A

4.2. [California Transportation Commission January 2016 Meeting Summary](#)

5 I

## 5. Programs and Projects

5.1. [Measure B, Measure BB, and Vehicle Registration Fee Master Programs Funding Agreements and Performance Measures for Direct Local Distributions \(DLD\): Approval to Authorize the Executive Director to Execute Master Program Funding Agreements with DLD Fund recipients.](#)

11 A

5.2. [2016 State Transportation Improvement Program Update](#)

71 I

5.3. [Paratransit Gap Grant Cycle 5 Fiscal Year 2016-17 Extensions: Approval of a 1 Year Extension to the Cycle 5 Gap Grant Program](#)

85 A

5.4. [Transportation Fund For Clean Air \(TFCA\) Program: Approval of Fiscal Year 2016-17 TFCA Expenditure Plan Application](#)

93 A

5.5. [Alameda County Three Year Project Initiation Document \(PID\) Work Plan: Approval of Three-Year PID Work Plan for Alameda County](#)

145 A

5.6. [Proposition 1B Transit System Safety, Security and Disaster Response Account \(TSSSDRA\) Program:](#)

155 A

1. Approval to Adopt Resolution No. 16-003 which authorizes the execution of Grant Assurance documents for the TSSSDRA Program and appoints the Executive Director or designee as the Alameda CTC's authorized agent, to execute the Grant Assurances, grant applications, funding agreements, reports or any other documents necessary for project funding and TSSSDRA program compliance, and
2. Approval to Authorize the Executive Director, or his designee, to submit project applications requesting allocations for FY

2015-16 TSSSDRA funds.

- |      |   |     |   |
|------|---|-----|---|
| 5.7. | <a href="#"><u>Route 84 Expressway Widening Project (PN 1210.002, 1210.003) Right of Way Phase Budget Augmentation and Contract Amendment No. 4 to Professional Services Agreement No. A05-0004 with URS Corporation:</u></a> <ol style="list-style-type: none"><li>1. Approval of Right of Way Phase Budget; and</li><li>2. Approval of Amendment No. 4 to the Professional Services Agreement No. A05-0004 with URS to Provide Design Services During Construction, Engineering Support for Right of Way Acquisitions, Utility Relocation, Environmental Mitigation and Landscape Design</li></ol>  | 165 | A |
| <br> |   |     |   |
| 5.8. | <a href="#"><u>I-580 and I-680 Express Lanes (PN 1373.000/1369.000) Contract Amendment and Procurement Actions:</u></a> <ol style="list-style-type: none"><li>1. Approval of Amendment No. 2 to Professional Services Agreement No. A11-0033 with CDM Smith, Inc. for augmenting scope of services and including additional budget of \$300,000 for a total not-to-exceed budget of \$1,733,934 for System Manager Services in current fiscal year 2015/16</li><li>2. Approval to release a Request for Proposals and authorize the Executive Director to negotiate a Professional Services Agreement with the top ranked firm for System Manager Services in fiscal year 2016/17</li></ol> | 171 | A |
| <br> |   |     |   |
| 5.9. | <a href="#"><u>Approval of Administrative Amendments to Various Project Agreements (A07-011.BKF.Ph2, A99-0003, A12-0050, A12-0024, A08-017.TYLin, A08-017.RM(NS) and A10-0026)</u></a>  | 181 | A |

#### 4. Staff Reports (Verbal)

#### 5. Committee Member Reports

#### 6. Adjournment

**Next Meeting:** March 14, 2016

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



# Programs and Projects Committee Meeting Minutes Monday, January 11, 2016, 12 p.m.

4.1

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## 1. Pledge of Allegiance

## 2. Roll Call

A roll call was conducted. All members were present with the exception of Commissioner Miley.

### Subsequent to the roll call

Commissioner Miley arrived during item 5.1

## 3. Public Comment

There was one public comment:  
Ken Bukowski

## 4. Consent Calendar

### 4.1. PPC Meeting Minutes: Approval of the November 9, 2015 Meeting Minutes

*Commissioner Freitas moved to approve the Consent Calendar. Commissioner Halliday seconded the motion. The motion passed unanimously (Miley absent).*

## 5. Programs and Projects

### 5.1. Measure B, BB and VRF Program and Capital Projects Update

John Nyguen and Richard Carney presented the Measure B, BB and VRF Program and Capital Projects Update. John covered the history of Measure B and provided information on Measure B Distributions, specifically direct local distributions and discretionary grants. John also provided a brief history of the VRF program and distributions, as well as a discussion of the history and distributions for Measure BB. John covered discretionary grants selection and administration process, reviewed the 13 discretionary grants projects in Measure B and reviewed future funding decisions for Measure BB discretionary funds. He concluded by reviewing next steps for Measure B, Measure BB and VRF programs.

Richard Carney reviewed the Alameda CTC Capital Program. He covered capital project allocations to date and active projects by phase. Richard also reviewed development of the Measure BB Capital Program and concluded by stating that a Measure BB Capital Project Delivery Plan was being developed.

Commissioner Haggerty asked if staff evaluated the possibility of a process where DLD funds are only allocated to jurisdictions that are project ready as opposed to all jurisdictions at once. Art stated that staff has discussed that concept and the currently used process was approved and vetted through each city's council. He

stated that staff is monitoring trends and will bring more information back to the Commission for discussion.

Commissioner Kaplan asked why the I-80 ICM project takes vehicles off the state highway and redirects them onto local streets. Art stated that the project was negotiated with all nine local jurisdictions and MOU's were executed stating that in the event of an accident in the I-80 corridor, local streets and highway would provide a wired network to provide incident management.

Commissioner Dutra-Vernaci asked if the agency provided information on each cities projects that are underway. Art stated that the agency creates fact sheets with cost, summary and schedule on each project funded by Alameda CTC. He stated that fact sheets are located on the Alameda CTC website.

Commissioner Miley asked for more information regarding level of service monitoring. Tess stated that LOS is a measure used to monitor congestion and the agency presents the LOS study to the Commission annually.

Commissioner Halliday asked for more information on utility risk mitigation. Stefan Garcia stated that various projects have been experiencing an escalation in costs for utility relocation that need to be mitigated to minimize additional risks across the program.

Commissioner Halliday asked if receiving funding for project scoping gives the projects a better chance at achieving full funding. James O'Brien stated that while scoping does not guarantee full funding it does give staff the ability to identify project impediments and also to help with identifying other state and federal funding for which a project may be eligible.

*This item is for information only.*

**5.2. SR-24 Caldecott Tunnel Settlement Projects (PN 716.0): Approval and Authorization to Restate and Execute Amendment No. 1 to Cooperative Agreement No. A11-0035 with the City of Berkeley**

Vivek Bhat recommended that the Commission approve Amendment No. 1 to Cooperative Agreement No. A11-0035 with the City of Berkeley. He stated that the purpose of the Restated and Amended Cooperative Agreement is to document the conditions and procedures which govern the payment of \$2.05 million in RM-2 and Measure J funds by CCTA to City of Berkeley. Vivek stated that the amendment will allow Alameda CTC to process pass through payments from CCTA to the City of Berkeley.

*Commissioner Capitelli moved to approve this item. Commissioner Kaplan seconded the motion. The motion passed unanimously.*

**5.3. Approval of Administrative Amendments to Various Project Agreements (A11-038, A09-006, A10-010, A13-0020)**

Trinity Nyugen recommended that the Commission approve and authorize the Executive Director to execute administrative amendments to various project agreements in support of the Alameda CTC's Capital Projects and Program delivery commitments. The time extensions are for the following contracts: Delcom Corporation, TJKM, Harris and Associates; and Ghirardelli Associates.

*Commissioner Kaplan moved to approve this item. Commissioner Cutter seconded the motion. The motion passed unanimously.*

**6. Committee Members**

There were no committee member reports.

**7. Staff Reports**

There were no staff reports.

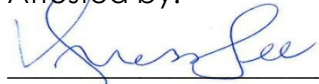
**8. Adjournment/ Next Meeting**

The next meeting is:

Date/Time: Monday, February 8, 2016 @12:00 p.m.

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

Attested by:



Vanessa Lee,  
Clerk of the Commission

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# Memorandum

4.2

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

**DATE:** February 1, 2016

**SUBJECT:** California Transportation Commission January 2016 Meeting Summary

**RECOMMENDATION:** Receive an update on the January 2016 California Transportation Commission Meeting.

## Summary

The January 2016 California Transportation Commission (CTC) meeting was held in Sacramento. Detailed below is a summary of the six (6) agenda items of significance pertaining to Projects/Programs within Alameda County that were considered at the meeting.

## Background

The CTC 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 CTC members residing in its geographic area: Bob Alvarado, Jim Ghielmetti, and Carl Guardino.

Detailed below is a summary of the six agenda items of significance pertaining to Projects / Programs within Alameda County that were considered at the January 2016 CTC meeting (Attachment A).

### 1. 2016 State Transportation Improvement Program (STIP) – Revised Fund Estimate and Schedule

The CTC approved an updated Price-Based Excise Tax Rate assumption for the Amended 2016 State Transportation Improvement Program (STIP) Fund Estimate. The CTC also approved the revised dates for submittal of the regional and interregional improvement programs.

Assumptions for the Amended 2016 STIP Fund Estimate provide the basis for forecasting available capacity for the 2016 STIP and the 2016 State Highway Operation and Protection Program (SHOPP). Revenue assumptions were based in part on the Department of Finance estimation that the Price- Based Excise Tax Rate on gasoline would increase incrementally over the fund estimate period. In May 2015, the Commission approved the assumptions for the 2016 STIP Fund Estimate. In August 2015, the 2016 STIP Fund Estimate was adopted by the Commission.

The 2016-17 Governor's Budget reflects a lower Price-Based Excise Tax Rate than the Department of Finance projected in 2015. Because the Price-Based Excise Tax is the primary revenue source for the STIP, lower rates have been incorporated into the updated Price-Based Excise Tax Rate scenarios, which will result in decreased STIP capacity over the fund estimate period.

*Revised 2016 STIP schedule:*

Regions submit revised RTIPs	February 26, 2016
Caltrans submits revised ITIP	February 26, 2016
CTC STIP Hearing, South	March 17, 2016
CTC STIP Hearing, North	March 24, 2016
CTC publishes staff recommendations	April 22, 2016
CTC adopts STIP	May 18-19, 2016,

**2. Traffic Congestion Relief Program (TCRP) – BART to San Jose; Extend BART from Fremont to Warm Springs**

CTC amended the TCRP program to reprogram and re-allocate \$1,632,000 from Right of Way (R/W) to construction for the BART to San Jose; extend BART from Fremont to Warm Springs project.

*Outcome: Project funding plan will be updated accordingly and funds will be encumbered in construction phase.*

**3. 2015 Active Transportation Program (ATP) – Metropolitan Planning Organization (MPO) component**

CTC adopted the 2015 ATP program of projects for the MPO component which included 11 projects totaling approximately \$30.2 million within the Metropolitan Transportation Commission bay region.

*Outcome: CTC recommendation includes 4 projects totaling approximately \$5.6 million within Alameda County.*

**4. 2017 Active Transportation Program – Draft Guidelines and Programming Schedule**

CTC staff presented the Draft 2017 ATP guidelines to the Commission as a starting point to generate discussion at the upcoming ATP Cycle 3 workshops. Similar to prior cycles, it is estimated \$120 Million will be available through the Statewide component and \$20 Million will be available through the MTC-Region component for FYs 19-20 and 20-21 for projects that encourage active modes of transportation such as biking and walking.

*Outcome: Staff intends to bring the Final 2017 ATP Guidelines and Application to the Commission for adoption at the March 2016 meeting.*

**5. 2014 State Highway Operations and Protection Program (SHOPP) Amendments**

CTC approved adding ten new projects into the 2014 SHOPP and revising 42 projects currently programmed in the 2014 SHOPP. Amendments include \$16.5 million for construction phase of I-680 Resurfacing Project Fremont, from south of Scott Creek Road to Auto Mall Parkway and \$18.9 million from Auto Mall Parkway to Koopman Road.

*Outcome: Allocation will fund the Construction phase activities of the I-680 NB Express lanes project.*

**6. SHOPP Supplemental Funds Vote: I-580 Ramp Resurfacing Project in Oakland, from Fruitvale Avenue to Hollis Street**

CTC allocated an additional \$1,271,000 to the I-580 Ramp Resurfacing Project in Oakland, from Fruitvale Avenue to Hollis Street. The project will resurface ramps with asphalt to extend pavement service life and improve ride quality. It will also upgrade guardrail, modify drainage inlets, and upgrade 12 curb ramps to Americas with Disabilities Act (ADA) standards.

*Outcome: Allocation will fund the Construction phase activities of the project.*

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

**Attachments**

- A. January 2016 CTC Meeting summary for Alameda County Project / Programs

**Staff Contact**

[James O'Brien](#), Interim Deputy Director of Programming and Allocations

[Vivek Bhat](#), Senior Transportation Engineer

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## January 2016 CTC Summary for Alameda County Projects/ Programs

Sponsor	Program / Project	Item Description	CTC Action / Discussion
Caltrans	2016 State Transportation Improvement Program (STIP) Revised Fund Estimate and schedule	Approve 2016 STIP Revised Fund Estimate and schedule.	Approved
BART	Traffic Congestion Relief Program (TCRP) / BART to San Jose; Extend BART from Fremont to Warm Springs	Amend the TCRP program to reprogram and re-allocate \$1,632,000 from Right of Way (R/W) to construction	Approved
Caltrans	2015 Active Transportation Program (ATP) – Metropolitan Planning Organization (MPO) component	Adopt 2015 ATP program of projects for the MPO component.	Approved
Caltrans	2017 Active Transportation Program – Draft Guidelines and Programming Schedule	CTC staff presented the Draft 2017 ATP guidelines to the Commission.	Information Item
Caltrans	2014 State Highway Operations and Protection Program (SHOPP) Amendments	Approve adding ten new projects into the 2014 SHOPP and revising 42 projects currently programmed in the 2014 SHOPP	Approved
Caltrans	SHOPP / I-580 Ramp Resurfacing Project in Oakland, from Fruitvale Avenue to Hollis Street	Approve allocation of additional \$1,271,000 SHOPP funds for the Construction phase of the I-580 Ramp Resurfacing Project in Oakland.	Approved

[http://www.catc.ca.gov/meetings/agenda/2016Agenda/2016-01/00\\_ETa.pdf](http://www.catc.ca.gov/meetings/agenda/2016Agenda/2016-01/00_ETa.pdf)

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# Memorandum

5.1

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• PH: (510) 208-7400

• www.AlamedaCTC.org

**DATE:** February 1, 2016

**SUBJECT:** Measure B, Measure BB, and Vehicle Registration Fee Master Programs Funding Agreements and Performance Measures for Direct Local Distributions

**RECOMMENDATION:** Authorize the Executive Director to execute Master Programs Funding Agreements with Measure B, Measure BB, and Vehicle Registration Fee Direct Local Distribution Funds recipients.

## Summary

Alameda CTC is responsible for the distribution of revenues generated through the Measure B, Measure BB and the Vehicle Registration Fee (VRF) Programs. Over half of these revenues are distributed by formula directly to twenty local jurisdictions to support locally managed transportation, bicycle and pedestrian, transit, and paratransit programs. In order to receive Measure B/BB/VRF "Direct Local Distribution" (DLD) funds, all recipients are required to maintain a Master Programs Funding Agreement (MPFA) with the Alameda CTC.

Alameda currently maintains two active MPFAs between the recipients to facilitate the distribution of funds. The first executed in 2012 is applicable to Measure B/VRF funds and expires on June 30, 2022. The other, executed in 2015 is for Measure BB and expires on June 30, 2016.

In order to provide consistent implementation across all DLD funds and to continue the uninterrupted distribution of Measure BB DLD funds to recipients, staff proposes a combined ten-year MPFA for Measure B/BB/VRF DLD funds. This MPFA identifies the Alameda CTC's and recipient's current roles and responsibilities, policies on expenditures, timely use of funds requirements, and performance measures that are necessary to evaluate the use of DLD investments throughout the county. Performance measures and reporting requirements included in the MPFA are designed to inform future investment decisions on DLD funds.

Staff recommends the Commission approve the MPFA, the associated implementation guidelines and performance measures, and authorize the Executive Director or his designee to enter into the MPFA's with the twenty eligible DLD fund recipients. Once executed, the MPFA will enable the disbursement of Measure B/BB/VRF DLD funds starting July 1, 2016 through June 30, 2026 unless amended or a new MPFA is established.

## Background

Alameda CTC is responsible for administering the Measure B, Measure BB, and VRF Programs. A defined portion of Measure B/BB/VRF funds are distributed directly to twenty eligible jurisdictions as Direct Local Distributions (DLD). Annually, these distributions provide support to locally identified transportation improvements among the recipient's local transportation, bicycle/pedestrian, mass transit, and paratransit programs.

Alameda CTC and the recipients entered into Master Programs Funding Agreements (MPFAs) for Measure B/VRF funds in 2012, and for Measure BB in 2015. The MPFAs identify the roles and responsibilities related to the DLD expenditures. The 2015 Measure BB MPFA was an initial one-year agreement expiring on June 30, 2016 to allow for the immediate flow of new Measure BB distributions to recipients, and to provide additional time to develop policies and performance measures for all DLD funds.

The proposed Measure B/BB/VRF MPFA reflects a combined master agreement for the DLD funds from each of the three fund sources. This allows for consistent policies and requirements that are applicable to all DLD funds to streamline program implementation for the recipients and for Alameda CTC. The MPFA contains policies on expenditures, timely use of funds requirements, and performance measures to guide the expeditious use and investment of these funds across all recipients. The MPFA is included as Attachment A.

The performance measures contained in Exhibit C of the MPFA establish performance reporting expectations for DLD investments. It is important to note each of the four DLD programs (local transportation, bicycle/pedestrian, transit and paratransit) are distinct and the recipients can use the funds, at their discretion, on a variety of transportation needs. Thus, the performance measures for DLD funds monitor quantifiable data on universal investments such as pavement condition index for streets and roads, quantities of sidewalk or bike facility improvements, revenue hours, transit ridership, and trips provided/individual served. Alameda CTC will be conducting performance reporting and data collection through the annual program compliance reporting, annual paratransit program plan review, annual performance report, levels of service monitoring report, and through other countywide planning studies.

The MPFA is based primarily on the existing 2012 Measure B/VRF MPFA boilerplate. The primary changes include:

- Removal of timely use of funds and reserve policies. These policies are replaced in the Measure B/BB/VRF MPFA policy provisions with reference to the Commission approved Timely Use of Funds Policies for DLD funds (December 2015).
- Incorporation of Measure BB references and policies specific to the Measure such as 15% of local streets and roads funds must be expended on bicycle/pedestrian related improvements.
- Incorporation of performance measures and reporting requirements.



Redline changes comparing the existing 2012 Measure B/VRF MPFA with the proposed MPFA are available for reference at the following link:

[http://www.alamedactc.org/files/managed/Document/18038/DLD\\_MPFA\\_Tracked\\_20160122.pdf](http://www.alamedactc.org/files/managed/Document/18038/DLD_MPFA_Tracked_20160122.pdf)

The MPFA references program implementation guidelines for each of the four DLD programs which serve as a guide for eligible project and program investments to be funded with the Measure B/BB/VRF funds. These guidelines were last adopted by the Commission in 2012. As part of the new MPFA, the implementation guidelines have been refreshed to include Measure BB references, but no substantive changes have been made to the local transportation, bicycle/pedestrian and mass transit implementation guidelines. On January 25, 2016, the Paratransit Advisory and Planning Committee (PAPCO) approved the updates to the Paratransit Program's implementation guidelines, including performance measures. The implementation guidelines for all programs are included in Attachment B.

Staff recommends the Commission approve the MPFA, the associated implementation guidelines and performance measures, and authorize the Executive Director or his designee to enter into the MPFA's with the twenty eligible DLD fund recipients. Once executed, the MPFA will enable the disbursement of Measure B/BB/VRF DLD funds starting July 1, 2016 through June 30, 2026 unless amended or a new MPFA is established.

**Fiscal Impact:** There is no significant fiscal impact expected as a result of the recommended action. The recommended action will allow for agreements to be executed that will govern the disbursements of Direct Local Distributions for Measure B, Measure BB, and VRF funds which are authorized directly in the measures approved by the voters.

### **Staff Contacts**

[James O'Brien](#), Interim Deputy Director of Programming and Allocations

[John Nguyen](#), Senior Transportation Planner

### **Attachments**

- A. Measure B/BB/VRF Master Programs Funding Agreement
- B. Implementation Guidelines for DLD Programs

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**MASTER PROGRAMS FUNDING AGREEMENT**  
**between the**  
**ALAMEDA COUNTY TRANSPORTATION COMMISSION**  
**and the**  
**[insert RECIPIENT]**

This Master Programs Funding Agreement (“AGREEMENT”) is made this \_\_\_\_ day of \_\_\_\_\_, 2016, by and between the Alameda County Transportation Commission (“ALAMEDA CTC”) and the \_\_\_\_\_ (“RECIPIENT”).

**RECITALS**

A. On November 7, 2000, the voters of Alameda County, pursuant to the provisions of the Local Transportation Authority and Improvement Act, California Public Utilities Code Section 180000 et seq. (the “Act”), approved the reauthorization of Measure B, thereby authorizing Alameda County Transportation Improvement Authority (“ACTIA”) to administer the proceeds from a continued one-half cent transaction and use tax (“Measure B”).

B. The duration of the Measure B sales tax will be 20 years from the initial year of collection, which began April 1, 2002, with said tax to terminate/expire on March 31, 2022. The tax proceeds will be used to pay for the programs and projects outlined in Alameda County’s 20-Year Transportation Expenditure Plan (the “Measure B Expenditure Plan”), as it may be amended.

C. The Measure B Expenditure Plan authorizes the issuance of bonds to expedite delivery of transportation projects and programs. Costs associated with bonding will be borne only by the capital projects included in the Measure B Expenditure Plan and by any programs included in the Measure B Expenditure Plan that utilize the bond proceeds.

D. On November 2, 2010, the voters of Alameda County approved Measure F, the Vehicle Registration Fee (“VRF”) Program, pursuant to Section 65089.20 of the Government Code, thereby authorizing the Alameda County Congestion Management Agency (“ACCMA”) to administer the proceeds from a \$10 per year vehicle registration fee on each annual motor-vehicle registration or renewal of registration in Alameda County, starting in May 2011, six months following approval of Measure F. Vehicles subject to the VRF include all motorized vehicles, including passenger cars, light-duty trucks, medium-duty trucks, heavy-duty trucks, buses of all sizes, motorcycles, and motorized camper homes, unless vehicles are expressly exempted from the payment of the VRF.

E. Funds raised by the VRF will be used exclusively for local transportation purposes in Alameda County that have a relationship or benefit to the owners of motor vehicles paying the VRF, including projects and programs identified in the expenditure plan approved by the voters as part of Measure F (the “VRF Expenditure Plan”).

F. On June 24, 2010, ACTIA and ACCMA took the final actions to create ALAMEDA CTC, which has assumed the responsibilities of ACTIA and ACCMA, including duties related to Measure B and the VRF.

G. On November 4, 2014, the voters of Alameda County, pursuant to the Act, approved Measure BB, thereby authorizing ALAMEDA CTC to administer the proceeds from the extension of the existing Measure B one-half of one percent transaction that is scheduled to terminate on March 31, 2022, and the augmentation of the tax by one-half of one percent.

H. The duration of the Measure BB sales tax will be 30 years from the initial year of collection, which begins April 1, 2015, with said tax to terminate/expire on March 31, 2045. The tax proceeds will be used to pay for the investments outlined in Alameda County's 30-Year Transportation Expenditure Plan ("Measure BB Expenditure Plan"), as it may be amended.

I. This AGREEMENT delineates the requirements of the Measure B/Measure BB/VRF Direct Local Distribution ("DLD") funds that are directly allocated to local jurisdictions and transit operators, as authorized by the Measure B Expenditure Plan, the VRF Expenditure Plan, and the Measure BB Expenditure Plan. Discretionary funds identified in these expenditure plans are not the subject of this AGREEMENT, and RECIPIENT will be required to enter into a separate agreement for those funds.

NOW, THEREFORE, it is mutually agreed by and between the parties as follows:

#### **ARTICLE I: FUNDING ALLOCATIONS**

1. This AGREEMENT authorizes the ALAMEDA CTC to allocate the DLD funds derived from Measure B, Measure BB, and VRF receipts as described in their respective voter-approved expenditure plans and as summarized in Table A: DLD Investment Summary and described below for different fund types.

<b>Table A: DLD Investment Summary</b>	
<b>DLD Program</b>	<b>Fund Program</b>
Bicycle and Pedestrian Program	Measure B and Measure BB
Local Streets and Roads Program	Measure B, Measure BB, and VRF
Mass Transit Program	Measure B and Measure BB
Paratransit Program	Measure B and Measure BB

2. All DLD distributions pursuant to this AGREEMENT shall be effective as of July 1, 2016.

##### **A. BICYCLE AND PEDESTRIAN PROGRAM**

1. ALAMEDA CTC will distribute Measure B and Measure BB DLD funds pursuant to a formula weighted 100 percent by the jurisdiction's population within the subarea. RECIPIENT's allocations are subject to change based on variations in annual population figures.

2. The Bicycle and Pedestrian Program Implementation Guidelines provide program eligibility and fund usage guidelines, definitions, additional requirements, and guideline adoption details. Said guidelines are hereby incorporated into this AGREEMENT by reference.

**B. LOCAL STREETS AND ROADS (LOCAL TRANSPORTATION) PROGRAM**

1. ALAMEDA CTC will distribute Measure B and Measure BB DLD funds pursuant to a formula weighted 50 percent by the jurisdiction's population within the subarea and 50 percent by the number of road miles with the subarea. RECIPIENT's allocations are subject to change based on variations in annual population and road mile figures.

2. ALAMEDA CTC will distribute VRF DLD funds pursuant to a formula weighted 50 percent by the jurisdiction's population within the subarea and 50 percent of the number of registered vehicles in the subarea. RECIPIENT's allocations are subject to change based on variations in annual population and number of registered vehicle figures, as they are made available.

3. The Local Streets and Roads Program Implementation Guidelines provide, program eligibility and fund usage guidelines, definitions, additional requirements, and guideline adoption details. Said guidelines are hereby incorporated into this AGREEMENT by reference.

4. RECIPIENT shall expend a minimum of 15 percent of all Measure BB funds received on project elements directly benefiting bicyclists and pedestrians.

**C. MASS TRANSIT PROGRAM**

1. ALAMEDA CTC will distribute Measure B and Measure BB DLD funds pursuant to set percentages detailed in the Measure B Expenditure Plan and the Measure BB Expenditure Plan. RECIPIENT's percentage fund distribution, if applicable, is detailed in the Measure B and Measure BB Mass Transit Direct Local Distribution Summary, attached hereto as Exhibit A and incorporated into this AGREEMENT by reference. RECIPIENT's allocations are subject to change based on transit service changes.

2. The Mass Transit Program Implementation Guidelines provide program eligibility and fund usage guidelines, definitions, additional requirements, and guideline adoption details. Said guidelines are hereby incorporated into this AGREEMENT by reference.

**D. PARATRANSIT PROGRAM**

1. ALAMEDA CTC will distribute Measure B and Measure BB DLD funds by subarea pursuant to percentages in the Measure B Expenditure Plan, and the Measure BB Expenditure Plan. RECIPIENT's percentage fund distribution by subarea, if applicable, attached hereto as Exhibit B and incorporated into this AGREEMENT by reference.

a. Measure BB distributions to cities and local transit operators are based on a percentage of the population over age 70 in each of the four planning areas for city-based and mandated paratransit services of local bus transit providers.

b. ALAMEDA CTC will distribute Measure BB to the East Bay Paratransit Consortium pursuant to set percentages in the Measure BB Expenditure Plan to assist the Alameda-Contra Costa Transit District and the San Francisco Bay Area Rapid Transit in meeting its responsibilities under the American with Disabilities Act (ADA).

c. Measure B and BB DLD funds may be further distributed to individual cities within each planning area based on a formula refined by PAPCO, and approved by the ALAMEDA CTC Commission (the "Commission"). RECIPIENT's allocations are subject to change based on updated annual population figures.

2. The Paratransit Program Implementation Guidelines provide program eligibility and fund usage guidelines, definitions, additional requirements, and guideline adoption details. Said guidelines are hereby incorporated into this AGREEMENT by reference.

## **ARTICLE II: PAYMENTS AND EXPENDITURES**

### **A. ALAMEDA CTC'S DUTIES AND OBLIGATIONS**

1. Within five working days of actual receipt of the monthly Measure B and Measure BB sales tax revenues and VRF revenues from the State Board of Equalization ("BOE"), the bond trustee or the California Department of Motor Vehicles, Alameda CTC shall remit to the RECIPIENT its designated amount of available DLD funds disbursed on a monthly basis by the formulas described above.

2. ALAMEDA CTC shall annually update the Measure B, Measure BB, and VRF fund revenue projections and the resulting fund allocation formulas to reflect the most current population using the California Department of Finance's annual population estimates (Report E-1 published in May); maintained road mileage from the California Department of Transportation; and the number of registered vehicles in each Alameda County subarea, using registered vehicle data provided by the California Department of Motor Vehicles, as it is made available. ALAMEDA CTC shall use the updated Measure B, Measure BB, and VRF program allocation formulas in the allocations beginning July 1 of each new fiscal year, which is from July 1 to June 30.

3. ALAMEDA CTC shall report monthly to the public the amount of Measure B, Measure BB, and VRF revenues distributed to RECIPIENT by each fund type monthly and for the fiscal year.

4. ALAMEDA CTC shall provide for an independent annual audit of its financial statements including revenues and expenditures and also of its calculation of the allocation formula for distributing Measure B, Measure BB, and VRF revenues to various recipients and render an annual report to the ALAMEDA CTC Commission within 180 days following the close of the fiscal year.

5. ALAMEDA CTC shall provide timely notice to RECIPIENT prior to conducting an audit of expenditures made by RECIPIENT to determine whether such expenditures are in compliance with this AGREEMENT, the Measure B Expenditure Plan, the Measure BB Expenditure Plan, or the VRF Expenditure Plan.

**B. RECIPIENT'S DUTIES AND OBLIGATIONS**

1. RECIPIENT shall expend all Measure B, Measure BB, and VRF funds distributed to the RECIPIENT in compliance with the applicable guidelines and Plan(s), including the Implementation Guidelines, as they may be adopted or amended by ALAMEDA CTC from time to time.

2. RECIPIENT shall set up and maintain an appropriate system of accounts to report on Measure B, Measure BB, and VRF funds received. RECIPIENT must account for Measure B, Measure BB, and VRF funds, including any interest received or accrued, separately for each fund type, and from any other funds received from the ALAMEDA CTC. The accounting system shall provide adequate internal controls and audit trails to facilitate an annual compliance audit for each fund type and the respective usage and application of said funds. ALAMEDA CTC and its representatives, agents and nominees shall have the absolute right at any reasonable time to inspect and copy any accounting records related to such funds, except to the extent specifically prohibited by applicable law.

3. RECIPIENT shall expend Measure B, Measure BB, and VRF funds in compliance with the Timely Use of Funds Policies for Direct Local Distributions, as approved by the Commission, and as they may be adopted or amended by ALAMEDA CTC from time to time.

4. RECIPIENT hereby agrees to and accepts the formulas used in the allocation of Measure B, Measure BB, and VRF revenues as reflected in the ballot measures, the Measure B Expenditure Plan, the Measure BB Expenditure Plan, and the VRF Expenditure Plan, and agrees to accept and utilize the California Department of Finance Estimates of Population figures (Report E-1, updated each May) for California cities and counties for the annual update of the sales tax allocation formulas to begin in each new fiscal year and registered vehicle data provided by the California Department of Motor Vehicles when available.

**C. OTHER EXPENDITURE RESTRICTIONS**

1. **Transportation Purposes Only:** RECIPIENT shall use all Measure B, Measure BB, and VRF funds solely for transportation purposes as defined by the authorizing ballot measures. Any jurisdiction that violates this provision must fully reimburse all misspent funds, including all interest which would have been earned thereon.

2. **Non-Substitution of Funds:** RECIPIENT shall use Measure B and Measure BB funds, pursuant to the Act, and VRF funds to supplement and not replace existing property taxes used for transportation purposes.

3. **Fund Exchange:** Any fund exchanges made using Measure B, Measure BB, or VRF funds must be made for transportation purposes. ALAMEDA CTC will consider exchange proposals on a case-by-case basis.

4. **Staff Cost Limitations:** Direct costs associated with the delivery of programs and projects associated with Measure B, Measure BB, and VRF programs, including direct staff costs and consultant costs, are eligible uses of Measure B, Measure BB, and VRF funds. ALAMEDA CTC does not allow indirect costs, unless the RECIPIENT submits an independently audited/approved Indirect Cost Allocation Plan.

### ARTICLE III: REPORTING REQUIREMENTS

#### A. REQUIREMENTS AND WITHHOLDING

RECIPIENT shall comply with each of the reporting requirements set forth below. If RECIPIENT fails to comply with one or more of these requirements, ALAMEDA CTC may withhold payment of further Measure B, Measure BB, and/or VRF funds to RECIPIENT until full compliance is achieved.

1. RECIPIENT shall, by December 31st of each year, submit to ALAMEDA CTC, at the RECIPIENT's expense, separate independently audited financial statements for the prior fiscal year ended June 30 of Measure B, Measure BB, and VRF funds received and used.

2. RECIPIENT shall, by December 31 of each year, submit to ALAMEDA CTC, at the RECIPIENT's expense, annual program compliance reports (covering the prior fiscal year) regarding programs and projects on which RECIPIENT expended Measure B, Measure BB, and VRF funds.

3. RECIPIENT shall document expenditure activities and report on the performance of Measure B, Measure BB, and VRF funded activities through the annual program compliance reporting process, or through other ALAMEDA CTC performance and reporting processes as they may be requested, including but not limited to the annual performance report, annual program plan, planning monitoring reports. Program Performance Measures are attached hereto as Exhibit C.

4. RECIPIENT shall install or mount signage adjacent to Measure B, Measure BB, and VRF funded construction projects and on vehicles funded with Measure B, Measure BB, and VRF funds (e.g., RECIPIENT and ALAMEDA CTC logos; "Your Transportation Tax Dollars Help Fund the Operation of This Vehicle!") where practical, so Alameda County taxpayers are informed as to how RECIPIENT is using Measure B, Measure BB, and/or VRF funds.

5. RECIPIENT shall provide current and accurate information on RECIPIENT's website, to inform the public about how RECIPIENT is using Measure B, Measure BB, and/or VRF funds.

6. RECIPIENT shall, at least annually, publish an article highlighting a project or program funded by Measure B, Measure BB, and/or VRF funds.

7. RECIPIENT shall actively participate in a Public Awareness Program, in partnership with ALAMEDA CTC and/or its community advisory committees, as a means of ensuring that the public has access to the ability to know which projects and programs are funded through Measure B, Measure BB, and/or VRF funds.

8. RECIPIENT shall make its administrative officer or designated staff available upon request to render a report or answer any and all inquiries in regard to RECIPIENT's receipt, usage, and/or compliance audit findings regarding Measure B, Measure BB, and/or VRF funds before the Commission and/or the Independent Watchdog Committee or community advisory committees, as applicable.



9. RECIPIENT agrees that ALAMEDA CTC may review and/or evaluate all project(s) or program(s) funded pursuant to this AGREEMENT. This may include visits by representatives, agents or nominees of ALAMEDA CTC to observe RECIPIENT's project or program operations, to review project or program data and financial records, and to discuss the project with RECIPIENT's staff or governing board.

#### **ARTICLE IV: OTHER PROVISIONS**

##### **A. GEOGRAPHIC BREAKDOWN**

In all cases the geographic breakdown by subarea is as follows:

1. North Area refers to the Cities of Alameda, Albany, Berkeley, Emeryville, Oakland, and Piedmont.
2. Central Area includes the Cities of Hayward and San Leandro, and the unincorporated area of Castro Valley, as well as other unincorporated lands governed by Alameda County in the Central Area.
3. South Area includes the Cities of Fremont, Newark, and Union City.
4. East Area includes the Cities of Livermore, Dublin, and Pleasanton, and all unincorporated lands governed by Alameda County in the East Area.

##### **B. INDEMNITY BY RECIPIENT**

Neither ALAMEDA CTC, nor its governing body, elected officials, any officer, consultant, agent, or employee thereof shall be responsible for any damage or liability occurring by reason of anything done or omitted to be done by RECIPIENT in connection with the Measure B, Measure BB, or VRF funds distributed to RECIPIENT pursuant to this AGREEMENT. It is also understood and agreed, pursuant to Government Code Section 895.4, RECIPIENT shall fully defend, indemnify and hold harmless ALAMEDA CTC, its governing body, and all its officers, agents, and employees, from any liability imposed on ALAMEDA CTC for injury (as defined in Government Code Section 810.8) occurring by reason of anything done or omitted to be done by RECIPIENT in connection with the Measure B, Measure BB, or VRF funds distributed to RECIPIENT pursuant to this AGREEMENT.

##### **C. INDEMNITY BY ALAMEDA CTC**

Neither RECIPIENT, nor its governing body, elected officials, any officer, consultant, agent, or employee thereof shall be responsible for any damage or liability occurring by reason of anything done or omitted to be done by ALAMEDA CTC under or in connection with any work, authority or jurisdiction delegated to ALAMEDA CTC under this AGREEMENT. It is also understood and agreed, pursuant to Government Code Section 895.4, Alameda CTC shall fully defend, indemnify, and hold harmless RECIPIENT, and its governing body, elected officials, all its officers, agents, and employees from any liability imposed on RECIPIENT for injury (as defined in Government Code Section 810.8) occurring by reason of anything done

or omitted to be done by ALAMEDA CTC under or in connection with any work, authority or jurisdiction delegated to ALAMEDA CTC under this AGREEMENT.

**C. JURISDICTION AND VENUE**

The laws of the State of California will govern the validity of this AGREEMENT, its interpretation and performance, and any other claims to which it relates. All legal actions arising out of this AGREEMENT shall be brought in a court of competent jurisdiction in Alameda County, California and the parties hereto hereby waive inconvenience of forum as an objection or defense to such venue.

**D. ATTORNEYS' FEES**

Should it become necessary to enforce the terms of this AGREEMENT, the prevailing party shall be entitled to recover reasonable expenses and attorneys' fees from the other party.

**E. TERM**

The term of this AGREEMENT shall be from July 1, 2016 to June 30, 2026, unless amended in writing or a new Master Programs Funding Agreement is executed between ALAMEDA CTC and RECIPIENT.

**F. SEVERABILITY**

If any provision of this AGREEMENT is found by a court of competent jurisdiction or, if applicable, an arbitrator, to be unenforceable, such provision shall not affect the other provisions of the AGREEMENT, but such unenforceable provisions shall be deemed modified to the extent necessary to render it enforceable, preserving to the fullest extent permissible the intent of the parties set forth in this AGREEMENT.

**G. MODIFICATION**

This AGREEMENT, and its Exhibits, as well as the referenced Implementation Guidelines, constitutes the entire AGREEMENT, supersedes all prior written or oral understandings regarding Measure B, Measure BB, and VRF program funds (but not project funding agreements), including but not limited to ALAMEDA CTC Measure B/BB/VRF master programs funding agreements, which former agreements are terminated as of the effective date hereof. This AGREEMENT may only be changed by a written amendment executed by both parties. Notwithstanding the foregoing, the Implementation Guidelines and Timely Use of Funds Policies related to Measure B, Measure BB, and VRF funds may be changed from time to time by the ALAMEDA CTC.

*[Signatures on next page]*

IN WITNESS WHEREOF, the parties have executed this AGREEMENT by their duly authorized officers as of the date first written below.

**[ENTER RECIPIENT NAME] (RECIPIENT)**

**ALAMEDA COUNTY TRANSPORTATION  
COMMISSION (ALAMEDA CTC)**

By: \_\_\_\_\_  
[Enter Name] Date  
[Enter Title]

By: \_\_\_\_\_  
Arthur L. Dao Date  
Executive Director

Approved as to Form and Legality:  
By: \_\_\_\_\_  
[Enter Name] Date  
[Enter Title]

Recommended:  
By: \_\_\_\_\_  
Deputy Director of Date  
Programming and Projects

Reviewed as to Budget/Financial Controls:  
By: \_\_\_\_\_  
Patricia Reavey Date  
Director of Finance and Administration

Approved as to Legal Form:  
  
By: \_\_\_\_\_  
Wendel, Rosen, Black & Dean LLP Date  
Legal Counsel to ALAMEDA CTC

**EXHIBIT A****MEASURE B AND MEASURE BB  
MASS TRANSIT DIRECT LOCAL DISTRIBUTION SUMMARY**

Alameda CTC distributes Measure B and Measure BB Mass Transit Direct Local Distribution funds based on the distribution percentages for net Measure B and Measure BB Revenues specified in the Measure B Expenditure Plan and Measure BB Expenditure Plan, as shown below.

<b>Table 1: Measure B</b>		
<b>Agency</b>	<b>Area</b>	<b>Percentage of Net Revenues</b>
AC Transit	North County	9.48%
AC Transit	Central County	4.74%
AC Transit	South County	1.61%
AC Transit Welfare to Work	North County	1.24%
AC Transit Welfare to Work	Central County	0.22%
LAVTA	East County	0.69%
Union City Transit	South County	0.34%
ACE	East/South County	2.12%
SF WETA	Alameda County	0.78%

<b>Table 2: Measure BB</b>		
<b>Agency</b>	<b>Area</b>	<b>Percentage of Net Revenues</b>
AC Transit	Alameda County	18.80 %
ACE	East/South County	1.00 %
BART	Alameda County	0.50 %
LAVTA	East County	0.50 %
Union City Transit	South County	0.25 %
SF WETA	Alameda County	0.50 %

**Countywide Local and Feeder Bus Service:** Provides funding for countywide local and feeder bus service in every region of the county to link neighborhoods and commuters to BART, rail, and express bus connections throughout the county. Welfare to Work programs dedicate 1.46 percent of overall Measure B net sales tax revenues to enhancing transportation opportunities for persons making the transition from welfare to work.

**Other Mass Transit Programs:** Provides funding to San Francisco Water Emergency Transportation Authority (WETA) Transbay Ferry Service to expand transbay ferry service from Alameda. Provides funding to Altamont Commuter Express (ACE) for capital and operating costs for operations in South and East Alameda County.

**Transit Operations:** Provides funding to transit operators for maintenance of transit service, restoration of service cuts, expansion of transit service, and passenger safety and security. The transit operators will determine the priorities for these funds through public processes and will submit an annual audit to Alameda CTC.

AC Transit agrees to allocate 1.46 percent of overall net Measure B sales tax receipts to enhancing transportation opportunities for persons making the transition from welfare to work. These "welfare to work" funds can be used by AC Transit for service restoration and expansion or implementation of improved bus

service to facilitate travel to and from work. AC Transit will prioritize the restoration and development of new service to meet the employment-related transit needs of low-income residents in northern and central Alameda County.

Additionally, these funds may be used, at the determination of AC Transit, to provide subsidies of regular bus fares for individuals living in northern and central Alameda County who are transferring from welfare to work as well as those who are economically disadvantaged. In the event that sufficient funds are otherwise available to AC Transit to meet these needs then "welfare to work" funds can be used for other general passenger service purposes in northern and central Alameda County.

AC Transit will work together with and actively seek input from bus riders, business leaders, mayors and other elected officials in San Leandro, Hayward, and the unincorporated areas in Central Alameda County to ensure that the additional transit funds in Central County are used for bus improvements such as night, weekend, and more frequent service, connections to residential growth areas, and access to major employment centers, including enhancement of east-west corridors.

AC Transit will continue to provide transit service similar to the Department of Labor-funded shuttle to and from job sites in East and West Oakland, as needed. AC Transit, Alameda County, the City of Oakland, the Port of Oakland and other entities will look for additional money from outside sources to fund the service. If needed, Measure B funds may be used.

**EXHIBIT B****MEASURE B AND MEASURE BB  
PARATRANSIT DIRECT LOCAL DISTRIBUTION SUMMARY**

Alameda CTC distributes Measure B and Measure BB paratransit funds to County subareas/planning areas and to AC Transit and BART based on the distribution percentages in the Measure B Expenditure Plan and the Measure BB Expenditure Plan, as shown below. Distributions to jurisdictions for non-mandated services within each subarea are based on allocation formulas refined by Paratransit Advisory and Planning Committee (PAPCO) and approved by the Commission.

<b>Table 1: Measure B</b>	
<b>Area/Agency</b>	<b>Measure B Percentage<sup>1</sup></b>
<b>North County</b> (non-mandated) <i>Cities of Alameda, Albany, Berkeley, Emeryville, and Oakland</i>	<b>1.24%</b>
<b>Central County</b> (non-mandated) <i>Cities of Hayward and San Leandro</i>	<b>0.88%</b>
<b>East County</b> (non-mandated) <i>LAVTA and City of Pleasanton</i>	<b>0.21%</b>
<b>South County</b> (non-mandated) <i>Cities of Fremont, Newark, and Union City</i>	<b>1.06%</b>
<b>North County<sup>2</sup></b> (ADA-mandated) <i>AC Transit and BART</i>	<b>4.53%</b>
<b>Central County<sup>2</sup></b> (ADA-mandated) <i>AC Transit and BART</i>	<b>1.10%</b>
<ol style="list-style-type: none"> <li>1. Percentage of Measure B funds required to be distributed to each area in the County. Funding for special transportation for seniors and people with disabilities is provided for services mandated by the ADA to fixed-route public transit operators who are required to provide that service. Funds for the South County are allocated between mandated and non-mandated programs on an annual basis by the cities in that part of the County.</li> <li>2. Americans with Disabilities Act (ADA) mandated services are allocated to AC Transit and BART according to the percentages included in the Expenditure Plan.</li> </ol>	

<b>Table 2: Measure BB</b>	
<b>Area/Agency</b>	<b>Percentage<sup>1</sup></b>
<b>City-based and Locally Mandated</b>	<b>3.0%</b>
<b>North County</b> <i>Cities of Alameda, Albany, Berkeley, Emeryville, Oakland, and Piedmont</i>	
<b>Central County<sup>2</sup></b> <i>Cities of Hayward and San Leandro, and unincorporated area of Castro Valley, as well as other unincorporated lands governed by Alameda County in the Central Area.</i>	
<b>South County</b> <i>Cities of Fremont, Newark, Union City, as well as Union City Transit.</i>	
<b>East County<sup>3</sup></b> <i>Cities of Livermore, Dublin, and Pleasanton, and unincorporated lands governed by Alameda County in the East Area, and LAVTA.</i>	
<b>AC Transit - East Bay Paratransit<sup>4</sup></b>	<b>4.5%</b>
<b>BART- East Bay Paratransit<sup>4</sup></b>	<b>1.5%</b>
<ol style="list-style-type: none"> <li>1. Funds are distributed based on the percentage of the population over age 70 in each of the four planning areas for city-based and mandated paratransit services. Funds can be further allocated to individual cities within each planning area based on a formula refined by PAPCO.</li> <li>2. Funding will be assigned to Hayward to serve the unincorporated areas.</li> <li>3. Funding for Livermore and Dublin will be assigned to LAVTA for their ADA-mandated paratransit program.</li> <li>4. Measure BB funds are dispersed to AC Transit and BART to operate the East Bay Paratransit Consortium.</li> </ol>	

**EXHIBIT C****PERFORMANCE MEASURE SUMMARY**

Direct Local Distribution recipients are to document the performance and benefits of the projects and programs funded with Measure B, Measure BB, and/or Vehicle Registration Fee funds. The following performance measures are a selection of performance standards that must be documented at minimum by the recipients. Additional performance measures may be requested by the Alameda CTC.

Performance reporting will be done through Alameda CTC's reporting processes including the annual program compliance reports, annual performance report, and various planning activities, as they are requested and applicable. Performance will be evaluated periodically through the aforementioned evaluation reports to determine the effectiveness of investments and to inform future investment decisions.

**BICYCLE AND PEDESTRIAN PROGRAM  
PERFORMANCE MEASURES**

<b>Performance Measure</b>	<b>Performance Metric and Standard</b>	<b>Evaluation Horizon &amp; Method</b>	<b>Corrective Action</b>	<b>Potential Improvements to Correct Deficiency</b>
<b>Current Master Plans</b> Maintain a current Bicycle/Pedestrian Master Plan (BPMP) that features required core elements	Plan(s) no more than 5 years old, based on adoption date.	Annually via Compliance Report	Any agency without a current plan is required to explain and provide anticipated schedule and funding to achieve plan update.	- Schedule for update
<b>Infrastructure Investment</b> - Number of linear feet or lane miles of bicycle facilities built or maintained (bike lanes, bike routes, multi-use pathways) - Number of pedestrian projects completed (linear feet of sidewalks, number of crossing improvements, quantify traffic calming items, lighting, landscaping/streetscape, number of curb/ADA ramps, linear feet of trail/pathway built or maintained)	- Bikeway projects completed by roadway segment and facility type  - Pedestrian projects completed by category (or categories) of improvement; increased quantity of specific improvements i.e. crossing improvements, striping, signage, curb ramps, pathways.	Annually via Compliance Report	N/A; Report on investments	N/A
<b>Capital Project and Program Investment</b> Amount expended on capital projects and programs by phase (design, row, con and capital support)	Investment into capital projects and programs is greater than funding program administration (outreach, staffing, administrative support)	Annually via Compliance Report	Any agency expending less on capital investments compared to other activities must explain how capital investments will be addressed in subsequent years	N/A

**EXHIBIT C** (cont.)**LOCAL TRANSPORTATION PROGRAM** (Local Streets and Roads)  
**PERFORMANCE MEASURES**

Performance Measure	Performance Metric and Standard	Evaluation Horizon & Method	Corrective Action	Potential Improvements to Correct Deficiency
<b>Pavement State of Repair</b>	Maintain a city-wide average Pavement Condition Index of 60 (Fair Condition) or above  Track PCI reported based on regional data: <a href="http://www.mtc.ca.gov/news/street_fight/">http://www.mtc.ca.gov/news/street_fight/</a>	Annually via Performance Report	Any agency falling under 60 PCI must provide an explanation and/or identify corrective action will need to increase PCI to target levels	Develop corrective actions
<b>Complete Streets Implementation</b> - Expenditure of LSR funds on bicycle and pedestrian projects elements (for Measure BB funds only)  - Number of exceptions to adopted local complete streets policies issued	- Maintain a 15% annual minimum LSR investment to support bicycling and walking  - Number of projects where accommodation for all users and modes of transportation not included	Annually via Compliance Report	Fund expenditures: Any agency not achieving the target percentage must explain or identify future plan.  Policy exceptions: N/A	N/A
<b>Capital Project and Program Investment</b> Amount expended on capital projects and programs by phase (design, row, con and capital support) and by key corridors	Investment into capital projects and programs is greater than funding program administration (outreach, staffing, administrative support)	Annually via Compliance Report	Any agency expending less on capital investments compared to other activities must explain how capital investments will increase in the subsequent years	Develop corrective actions
<b>Corridor-level Vehicle Speed and Reliability</b> Historic trend of vehicle speed and reliability (V/C) during AM/PM peak hours on key corridors with Capital or Operational Investments	Speed and reliability trends should maintain or improve if corridor had Capital or Operational investments since the last LOS Reporting period.	Bi-annually via LOS Report	Any agency that shows worsening speed or reliability trend after improvements must provide an explanation and identify corrective steps.	Develop corrective actions



**EXHIBIT C** (cont.)**MASS TRANSIT PROGRAM  
PERFORMANCE MEASURES**

Performance Measure	Performance Metric and Standard	Evaluation Horizon and Method	Corrective Action	Potential Improvements to Correct Deficiency
<b>Ridership/Service Utilization</b> <ul style="list-style-type: none"> <li>- Annual Ridership</li> <li>- Passenger trips per revenue vehicle hour/mile</li> </ul>	Change in annual ridership and passenger trips per revenue vehicle hour/mile and qualitative explanation for possible reasons	Annually via Performance Report	N/A	Develop corrective actions
<b>On-time Performance: System wide Average and Key Trunk Lines</b> On time performance of transit system	<ul style="list-style-type: none"> <li>- Average on-time performance of 90% or better for transit services <u>or</u> increasing on-time performance annually</li> <li>- Average speeds at least 50 percent of prevailing auto speed or increasing speed annually</li> </ul>	Annually via Performance Report	Any agency not meeting this target must prepare a deficiency plan with short- and long-term actions to correct. Local jurisdictions must participate in preparation of deficiency plan.	<ul style="list-style-type: none"> <li>- Line management strategies</li> <li>- Signal priority</li> <li>- Dedicated lanes or queue jumps</li> <li>- Bus bulb outs</li> <li>- Stop relocation,</li> <li>- All door boarding</li> </ul>
<b>Travel Time</b> Speed and reliability (peak vs non-peak) of key trunk lines (bus operators only)	Average speeds at least 50 percent of prevailing auto speed or increasing speed annually	Bi-annually via LOS Monitoring Report	Any agency not meeting this target must prepare a deficiency plan with short- and long-term actions to correct. Local jurisdictions must participate in preparation of deficiency plan.	<ul style="list-style-type: none"> <li>- Signal priority</li> <li>- Dedicated lanes or queue jumps</li> <li>- Bus bulb outs</li> <li>- Stop relocation, lengthening, and consolidation</li> <li>- All door boarding</li> </ul>
<b>Cost Effectiveness</b> <ul style="list-style-type: none"> <li>- Operating Cost per Passenger</li> <li>- Operating Cost per Revenue Vehicle Hour/Mile</li> </ul>	Maintain operating cost per passenger or per revenue vehicle hour/mile; percentage increase less than or equal to inflation as measured by CPI	Annually via Performance Report	Any agency with significant increase in costs must provide an explanation	N/A
<b>Transit Fleet State of Good Repair</b> <ul style="list-style-type: none"> <li>- Distance between breakdowns/service interruptions</li> <li>- Missed trips</li> <li>- Miles between roadcalls</li> </ul>	Maintain or increase average distance between break downs or road calls. Maintain or reduce the number of missed trips	Annually via Performance Report	Any agency not meeting expected performance must provide an explanation	N/A
<b>Service Provision</b> <ul style="list-style-type: none"> <li>- Frequency and service span on major corridors or trunk lines</li> <li>- Revenue hours</li> <li>- Revenue miles</li> </ul>	<ul style="list-style-type: none"> <li>- 15 minute or better frequencies on major corridors or trunk lines: 10 minute or better frequencies during weekday peak periods</li> <li>- Service span of 7 days/week, 20 hours per day</li> <li>- Maintain or increase revenue hours/miles</li> </ul>	Annually via performance report	Any agency not meeting expected performance must provide an explanation and a description of how service provision will be met in the future	N/A

**EXHIBIT C** *(cont.)***PARATRANSIT PROGRAM  
PERFORMANCE MEASURES**

<b>Performance Measure</b>	<b>Performance Metric and Standard</b>	<b>Evaluation Horizon and Method</b>	<b>Corrective Action</b>	<b>Potential Improvements to Correct Deficiency</b>
<b>Service Operations and Provisions</b> Number of people served or trips provided	Track number of individuals served by program for an increase over time. - Service types such as ADA mandated paratransit, door-to-door service, taxi programs, accessible van service, shuttle service, group trips, travel training, meal delivery	Annually via Compliance Report and Program Plan Review	Any agency with decreased number of people served or trips provided must provide an explanation and/or identify corrective action	Develop corrective actions
<b>Cost Effectiveness</b> Cost per Trip Cost per Passenger  Total Measure B/BB program cost per one-way passenger trip divided by total ridership during period.	Maintain cost per trip and/or per passengers - Service types such as ADA mandated paratransit, door-to-door service, taxi programs, accessible van service, shuttle service, group trips	Annually via Compliance Report and Program Plan Review	Any agency with significant increase in costs must provide an explanation	Develop corrective actions

*Note: The Paratransit Program Implementation Guidelines contains additional listing of performance measures by program type.*

**Alameda County Transportation Commission  
Implementation Guidelines  
For the Bicycle and Pedestrian Safety Program funded through  
Measure B, Measure BB, and Vehicle Registration Fees**

**Section 1. Purpose**

- A. To delineate the eligible uses of Bicycle and Pedestrian Safety Funds authorized under Alameda County Transportation Commission Master Program Funding Agreements, these implementation guidelines have been developed to specify the requirements that local jurisdictions must follow in their use of Measure B, Measure BB, and VRF Direct Local Distribution and discretionary funds. These guidelines are incorporated by reference in the Master Program Funding Agreements. All other terms and conditions for programs are contained in the agreements themselves. The intent of the implementation guidelines is to:
1. Provide guidance on Bicycle and Pedestrian Safety funds eligible uses and expenditures.
  2. Define the terms in the Master Program Funding Agreements.
  3. Guide Bicycle and Pedestrian Program implementation.

**Section 2. Authority**

- A. These Implementation Guidelines have been adopted by the Alameda County Transportation Commission (Alameda CTC) and set forth eligible uses and expenditures for the Bicycle and Pedestrian Safety funds. The Alameda CTC may update these guidelines on an as-needed basis and will do so with involvement of its technical and community advisory committees (as applicable). Exceptions to these guidelines must be requested in writing and be approved by the Alameda CTC.

**Section 3. Background**

- A. Alameda CTC developed Implementation guidelines for the Bicycle and Pedestrian Safety Funds to clarify eligible fund uses and expenditures in association Master Programs Funding Agreements for the November 2000 voter-approved Measure B Direct Local Distribution funds (formally known as “pass-through funds”). In 2012, the Master Programs Funding Agreements were updated to include the voter approved Measure F - Vehicle Registration Fee (VRF) program. In November 2014, voters approved the 2014 Transportation Expenditure Plan, Measure BB, and new Master Programs Funding Agreements were subsequently developed to incorporate Measure BB funds.

**Section 4. Definition of Terms**

- A. **Alameda CTC:** The Alameda County Transportation Commission is a Joint Powers Authority created by the merger of the Alameda County Congestion Management Agency, which performed long-range planning and funding for countywide transportation projects and programs, and the Alameda County Transportation Improvement Authority, which administered the voter approved half-cent transportation sales taxes in Alameda County (the 1986 and 2000 approved Measure B sales tax programs)
- B. **Capital project:** A bicycle and pedestrian capital investment that typically requires the following phases: planning/feasibility, scoping, environmental clearance, design, right-of-way, construction, and completion.
- C. **Complete Street:** A transportation facility that is planned, designed, operated, and maintained to provide safe mobility for all users, including bicyclists, pedestrians, transit vehicles, truckers, and motorists, appropriate to the function and context of the facility. Complete street concepts apply to rural, suburban, and urban areas. (Caltrans definition)
- D. **Complete Streets Act of 2008:** The California Complete Streets Act (Assembly Bill 1358) was signed into law in September 2008. It requires that local jurisdictions modify their general plans as follows:

“(A) Commencing January 1, 2011, upon any substantial revision of the circulation element, the legislative body shall modify the circulation element to plan for a balanced, multimodal transportation network that meets the needs of all users of the streets, roads, and highways for safe and convenient travel in a manner that is suitable to the rural, suburban, or urban context of the general plan.

(B) For the purposes of this paragraph, “users of streets, roads, and highways” means bicyclists, children, persons with disabilities, motorists, movers of commercial goods, pedestrians, users of public transportation, and seniors.”

- E. **Construction:** Construction of a new capital project, including development of preliminary engineering and construction documents, including plans, specifications, and estimates.
- F. **Cost Allocation Plans (CAPs):** CAPs and Indirect cost rate proposals (IDCs) are plans that provide a systematic manner to identify, accumulate, and distribute allowable direct and indirect costs to Bicycle and Pedestrian Safety programs funded through the Alameda CTC Master Programs Funding Agreements.
- G. **Direct cost:** A cost completely attributed to the provision of a service, operations, a program, a capital cost, or a product. These costs include documented hourly project staff labor charges (salaries, wages and benefits) which are directly and solely related to the implementation of the Alameda CTC-funded Bicycle and Pedestrian Safety Funds, consultants, and materials. These funds may be used for travel or training if they are directly related to the implementation of the Bicycle and Pedestrian Safety Funds.
- H. **Direct Local Distribution Funds:** Funds are allocated based upon a funding formula (such as population, registered vehicles, roadmiles, or a combination thereof) defined in a voter approved measure and provided to eligible jurisdictions on a regularly schedule basis (such as a regular monthly payment).
- I. **Environmental Documents:** Preparation of environmental documents, such as those related to the California Environmental Quality Act (CEQA) or the National Environmental Policy Act (NEPA), or permits required by state or federal permitting agencies.
- J. **Grants:** Funding for plans, programs or projects based upon a competitive call for projects, an evaluation process based on adopted evaluation criteria and allocated based upon a reimbursement basis.
- K. **Indirect cost:** Also known as “overhead,” any cost of doing business other than direct costs. These costs include utilities, rent, administrative staff, officer's salaries, accounting department costs and personnel department costs, which are requisite for general operation of the organization, but are not directly allocable to a particular service or product.
- L. **Local Bicycle Master Plan/Local Pedestrian Master Plans:** Locally adopted plans that, at a minimum, examine existing conditions for walking and/or bicycling, and provide recommendations on improving the walking and/or bicycling environment, and prioritize these improvements. These plans may be stand-alone bicycle and pedestrian plans or may be a joint plan that addresses both walking and bicycling.
- M. **Maintenance:** Repairs, renovation, or upgrade of existing facility or infrastructure.
- N. **Measure B:** Alameda County’s half-cent transportation sales tax, originally approved in 1986, then reauthorized by voters in November 2000. Collection of the sales tax began on April 1, 2002. Administered by the Alameda CTC, Measure B funds four types of programs in 20 local jurisdictions: bicycle and pedestrian, local streets and roads, mass transit, and paratransit.
- O. **Measure BB:** Alameda County voters approved Measure BB, the 2014 Transportation Expenditure Plan, in November 2014. It authorizes the collection of a half-cent transportation sales tax and augments the existing 2000 Measure B sales tax program. Collection of the sales tax began on April 1, 2015. Administered by the Alameda CTC, Measure BB funds four types of programs in 20 local jurisdictions: bicycle and pedestrian, local streets and roads, mass transit, and paratransit.

- P. **Operations:** Provision of services that operate transportation facilities and programs. Operations costs do not include the costs to operate community outreach or other programs not directly related to a specific transportation service, program, or product.
- Q. **Direct Local Distribution Funds:** Funds are allocated based upon a funding formula (such as population, registered vehicles, roadmiles, or a combination thereof) defined in a voter approved measure and provided to eligible jurisdictions on a regularly schedule basis (such as a regular monthly payment).
- R. **Planning:** Identification of project and program current conditions and needs and development of strategies and plans to address the identified needs.
- S. **Project Completion/Closeout:** Inspection/project acceptance, final invoicing, final reporting, and processes for closing out project.
- T. **Scoping and Project Feasibility:** Early capital project phases that identify project needs, costs and implementation feasibility.
- U. **Vehicle Registration Fee (VRF):** Measure F, Alameda County's VRF Program, approved by the voters in November 2010 with 63 percent of the vote. It will generate approximately \$12 million per year through a \$10 per year vehicle registration fee. Administered by the Alameda CTC, the VRF funds four main types of programs (with the funding distribution noted in parenthesis): local streets and roads (60 percent); transit (25 percent); local transportation technology (10 percent); and bicycle and pedestrian projects (5 percent).

## Section 5. Bicycle and Pedestrian Safety Fund Allocations

- A. These implementation Guidelines provide guidance on two types of Bicycle and Pedestrian Safety allocation processes for Measure B and Measure BB funds: 1) Direct Local Distribution funds and grants.

### 1. Bicycle and Pedestrian Direct Local Distribution (DLD) Funds

- a. *General:* The Bicycle and Pedestrian DLD Funds are distributed to cities in the county and to Alameda County to be spent on planning and construction of bicycle and pedestrian projects, and the development and implementation of bicycle and pedestrian programs. These funds are intended to expand and enhance bicycle and pedestrian facilities in Alameda County, focusing on high priority projects like gap closures and intermodal connections.

For Measure B, the DLD funds constitute seventy-five percent of the total Measure B bicycle/pedestrian funds. For Measure BB, three percent of total net Measure BB revenues are identified for the Measure BB bicycle/pedestrian DLD program. Each city and Alameda County will receive their proportional share of the DLD based on population over the life of the Measure (which share shall be adjusted annually as described in the Master Programs Funding Agreement). These funds are allocated on a monthly basis directly to each city and the County.

- b. *Eligible Uses:* The Measure B and Measure BB Bicycle/Pedestrian DLD funds may be used for capital projects, programs, or plans that directly address bicycle and pedestrian access, convenience, safety, and usage. Eligible uses for these funds include, but are not necessarily limited to:

#### 1) Capital Projects, including:

- a. New pedestrian facilities (e.g. sidewalks, curb ramps, countdown signals, accessible signals)
- b. Improvements to existing pedestrian facilities

- c. New bikeways (such as bicycle routes, boulevards, lanes, multi-use pathways)
    - d. Improvements or upgrades to existing bikeways
    - e. Maintenance of bicycle and pedestrian facilities
    - f. Crossing improvements (at intersections, interchanges, railroads, freeways, etc.) for pedestrians and bicyclists
    - g. Bicycle parking facilities, including construction, maintenance and operations
    - h. ADA on-street improvements
    - i. Signage for pedestrians and/or bicyclists
    - j. Pedestrian and bicycle access improvements to, from and at transit facilities
    - k. Traffic calming projects
    - l. All phases of capital projects, including feasibility studies, planning, and environmental
  - 2) Development of Local Bicycle and/or Pedestrian Master Plans, and updates of Plans
  - 3) Compliance with complete streets policies, to comply with the California Complete Streets Act of 2008, as specified in Section 6.
  - 4) Design and implementation of education, enforcement, outreach, and promotion programs
  - 5) Direct staff and consultant costs to develop, plan, implement, operate, and maintain the bicycle and pedestrian projects and programs.
  - 6) Maintenance of the portion of the street most often used for bicycling (such as bicycle lanes)
  - 7) Bicycle/pedestrian capital projects on non-city property, such as on school district property.
  - 8) Direct staff and consultant costs that support eligible activities, including the end-of-year compliance report
  - 9) Crossing guards
  - 10) Direct staff training costs directly related to implementation of projects, plans, or programs implemented with the Bicycle and Pedestrian Safety Funds
- c. *Ineligible Uses:* The following is a list of ineligible uses of Measure B Bicycle/Pedestrian pass-through funds:
- 1) Non-transportation projects such as fees charged to capital construction projects for services or amenities not related to transportation
  - 2) Repaving of the entire roadway (see “Eligible Uses” above for exceptions)

- 3) Capital projects, programs, or plans that do not directly address bicycle and pedestrian access, convenience, safety, and usage
  - 4) Projects or programs that exclusively serve city/county staff
  - 5) Indirect costs, unless the RECIPIENT submits an independently audited/approved Indirect Cost Allocation Plan
- d. *List of Projects/Programs:* All projects and programs that use Measure B and Measure BB Bicycle and Pedestrian Safety DLD funds must receive governing board approval prior to the jurisdiction expending the DLD funding on the project/program. This approval allows the opportunity for the public to provide input on planning for bicycle and pedestrian safety. These projects and programs may be included in any of the following, as long as they have been adopted by the jurisdiction's governing board:
- 1) List of projects on which to specifically spend Measure B/BB funds
  - 2) Local Bicycle and/or Pedestrian Master Plan with priority projects
  - 3) Capital Improvement Program
  - 4) A resolution, such as to submit a grant application
2. Bicycle and Pedestrian Grant Funds
- a. The Alameda CTC will administer a bicycle and pedestrian discretionary grant program using a portion of each of the Measure B, Measure BB, and the VRF Bicycle and Pedestrian Safety funds. The Alameda CTC will adopt *Grant Program Guidelines* before each grant cycle that will establish the guiding policies for that grant cycle, and will publicize each grant funding cycle.
  - b. Local jurisdictions, transit operators and Community Based Organizations (CBO) in Alameda County may be eligible for these competitive funds as determined by the Alameda CTC discretionary processes and the *Grant Program Guidelines*.

## Section 6. Complete Streets Policy Requirement

- A. To receive Measure B, Measure BB, and VRF funds, local jurisdictions must do both of the following with respect to Complete Street policies:
1. Have an adopted complete streets policy
  2. Comply with the California Complete Streets Act of 2008. The California Complete Streets Act (AB1358) requires that local general plans do the following:
    - a. Commencing January 1, 2011, upon any substantial revision of the circulation element, the legislative body shall modify the circulation element to plan for a balanced, multimodal transportation network that meets the needs of all users of the streets, roads, and highways for safe and convenient travel in a manner that is suitable to the rural, suburban, or urban context of the general plan.
    - b. For the purposes of this paragraph, "users of streets, roads, and highways" means bicyclists, children, persons with disabilities, motorists, movers of commercial goods, pedestrians, users of public transportation, and seniors.

The Governor's Office of Planning and Research has developed detailed guidance for meeting this law: *Update to the General Plan Guidelines: Complete Streets and the Circulation Element* ([http://www.opr.ca.gov/planning/docs/Update\\_GP\\_Guidelines\\_Complete\\_Streets.pdf](http://www.opr.ca.gov/planning/docs/Update_GP_Guidelines_Complete_Streets.pdf)).

## **Section 7. Local Bicycle/Pedestrian Master Plan Requirement**

- A. To receive Measure B, Measure BB, and VRF funds, local jurisdictions must do all of the following with respect to local bicycle and pedestrian master plans. The Alameda CTC will provide technical assistance and funding to local jurisdictions to meet these requirements through the competitive Bicycle and Pedestrian Safety Grant Program. Jurisdictions may also use DLD funds for the development of local bicycle and pedestrian master plans.
1. Have an adopted Local Pedestrian Master Plan AND Local Bicycle Master Plan, OR have an adopted combined Local Pedestrian and Bicycle Plan; or demonstrate that the plan is being developed and will be adopted.
  2. Each plan must be updated, at a minimum, every five years. This policy is consistent with the state's Bicycle Transportation Act (BTA) grant requirement for bicycle plans, and will ensure that plans are addressing current local needs, while also allowing jurisdictions to be eligible for BTA funding.
  3. Each plan must include core elements to ensure that the plan is effective, and that plans throughout the county are comparable, to the extent that is reasonable, to facilitate countywide planning. The Alameda CTC will develop and maintain guidelines outlining these core elements.

## **Section 8. Advancement of Direct Local Distribution Funds**

- A. The Alameda CTC may consider advancing future year Direct Local Distribution funds, with the goal of seeing improvements made in the near term. If a jurisdiction is interested in this option, a written request to the Alameda CTC's Director of Finance and Administration and a copy to the Deputy Director of Projects and Programs, indicating the amount of funds requested and the projects on which the funds will be spent, is required. Requests will be considered on an individual basis.

## **Section 9. Adoption of Implementation Guidelines**

- A. Implementation Guidelines are adopted by the Alameda CTC on an as-needed basis. Changes to Implementation Guidelines will be brought through the Alameda CTC's Technical Advisory Committee for review and comment, as well as any other Alameda CTC committees as necessary, before changes are adopted by the Alameda CTC's Commission.



**Alameda County Transportation Commission  
Implementation Guidelines for  
the Local Streets and Roads Program Funded through  
Measure B, Measure BB, and Vehicle Registration Fees**

**Section 1. Purpose**

- A. To delineate the eligible uses of Local Streets and Roads funds authorized under Alameda County Transportation Commission Master Program Funding Agreements, these implementation guidelines have been developed to specify the requirements that local jurisdictions must follow in their use of Measure B, Measure BB, and Vehicle Registration Fees (VRF) Direct Local Distribution funds. These guidelines are incorporated by reference in the Master Programs Funding Agreements. All other terms and conditions for programs are contained in the agreements themselves. The intent of the implementation guidelines is to:
1. Provide guidance on Local Streets and Roads funds eligible uses and expenditures.
  2. Define the terms in the Master Programs Funding Agreements.
  3. Guide Local Streets and Roads Program implementation.

**Section 2. Authority**

- A. These Implementation Guidelines have been adopted by the Alameda County Transportation Commission and set forth eligible uses and expenditures for the Local Streets and Roads funds. The Alameda CTC may update these guidelines on an as-needed basis and will do so with involvement of its technical and community advisory committees (as applicable). Exceptions to these guidelines must be requested in writing and be approved by the Alameda CTC Commission.

**Section 3. Background**

- A. Alameda CTC developed Implementation Guidelines for the Local Streets and Roads funds to clarify eligible fund uses and expenditures in association with Master Program Funding Agreements for the November 2000 voter-approved Measure B Direct Local Distribution funds (formally known as “pass-through funds”). The Expenditure Plan allocates 22.34 percent of Measure B funds for Local Streets and Roads programs and projects. In 2012, the Master Programs Funding Agreements were updated to include the voter approved Measure F - Vehicle Registration Fee (VRF) program. The VRF includes 60 percent of net revenues for a Local Streets and Roads Program. In November 2014, voters approved the 2014 Transportation Expenditure Plan, Measure BB, which allocates 20.00 percent of funds for a Local Streets and Roads program. New Master Programs Funding Agreements were subsequently developed to incorporate Measure BB funds.

**Section 4. Definition of Terms**

- A. **Alameda CTC:** The Alameda County Transportation Commission is a Joint Powers Authority created by the merger of the Alameda County Congestion Management Agency, which performed long-range planning and funding for countywide transportation projects and programs, and the Alameda County Transportation Improvement Authority, which administered the voter-approved, half-cent transportation sales taxes in Alameda County (the Measure B sales tax programs approved in 1986 and 2000).
- B. **Bike parking:** Bike racks and lockers, bike shelters, attended bike parking facilities, and bike parking infrastructure.

- C. **Bikeways and multiuse paths:** Bike lanes, bike boulevards, sidepaths, bike routes, multiuse pathways, at-grade bike crossings, and maintenance of bikeway facilities.
- D. **Bridges and tunnels:** Crossings above or below grade for bicycles, pedestrians, and/or autos and transit.
- E. **Capital project:** A capital investment that typically requires the following phases: planning/feasibility, scoping, environmental clearance, design, right-of-way, construction, and completion.
- F. **Complete Street:** A transportation facility that is planned, designed, operated, and maintained to provide safe mobility for all users, including bicyclists, pedestrians, transit vehicles, truckers, and motorists, appropriate to the function and context of the facility. Complete street concepts apply to rural, suburban, and urban areas. (Caltrans definition)
- G. **Complete Streets Act of 2008:** The California Complete Streets Act (Assembly Bill 1358) was signed into law in September 2008. It requires that local jurisdictions modify their general plans as follows:

“(A) Commencing January 1, 2011, upon any substantial revision of the circulation element, the legislative body shall modify the circulation element to plan for a balanced, multimodal transportation network that meets the needs of all users of the streets, roads, and highways for safe and convenient travel in a manner that is suitable to the rural, suburban, or urban context of the general plan.

(B) For the purposes of this paragraph, “users of streets, roads, and highways” means bicyclists, children, persons with disabilities, motorists, movers of commercial goods, pedestrians, users of public transportation, and seniors.”
- H. **Construction:** Construction of a new capital project, including development of preliminary engineering and construction documents, including plans, specifications, and estimates (PS&E).
- I. **Cost Allocation Plans (CAPs):** CAPs and indirect cost (IDC) rate proposals are plans that provide a systematic manner to identify, accumulate, and distribute allowable direct and indirect costs to Local Streets and Roads programs funded through the Alameda CTC Master Programs Funding Agreements.
- J. **Direct cost:** A cost completely attributed to the provision of a service, operations, a program, a capital cost, or a product. These costs include documented hourly project staff labor charges (salaries, wages, and benefits) that are directly and solely related to the implementation of the Alameda CTC-funded Local Streets and Roads projects, consultants, and materials. These funds may be used for travel or training if they are directly related to the implementation of the Local Streets and Roads funds.
- K. **Direct Local Distribution Funds:** Funds are allocated based upon a funding formula (such as population, registered vehicles, roadmiles, or a combination thereof) defined in a voter approved measure and provided to eligible jurisdictions on a regularly schedule basis (such as a regular monthly payment).
- L. **Education and promotion:** Marketing, education, information, outreach, and promotional campaigns and programs.
- M. **Environmental documents:** Preparation of environmental documents, such as those related to the California Environmental Quality Act (CEQA) or the National Environmental Policy Act (NEPA), or permits required by state or federal permitting agencies.
- N. **Equipment and new vehicles:** Purchase or lease of vehicles and equipment for service improvements, such as information dissemination, fare collection, etc.
- O. **Grants:** Funding for plans, programs, or projects based on a competitive call for projects; evaluated based on adopted evaluation criteria; and allocated based on a reimbursement basis.

## Alameda CTC Local Streets and Roads Program Implementation Guidelines

- P. **Indirect cost:** Also known as “overhead,” any cost of doing business other than direct costs. These costs include utilities, rent, administrative staff, officers’ salaries, accounting department costs, and personnel department costs, which are requisite for general operation of the organization but are not directly allocable to a particular service or product.
- Q. **Maintenance:** Repairs, renovation, or upgrade of existing facility or infrastructure.
- R. **Measure B:** Alameda County’s half-cent transportation sales tax, originally approved in 1986, and reauthorized by voters in November 2000. Collection of the sales tax began on April 1, 2002. Administered by the Alameda CTC, Measure B funds four types of programs in 20 local jurisdictions: bicycle and pedestrian, local streets and roads, mass transit, and paratransit.
- S. **Operations:** Provision of services that operate transportation facilities and programs. Operations costs do not include the costs to operate community outreach or other programs not directly related to a specific transportation service, program, or product.
- T. **Pedestrian crossing improvements:** At-grade pedestrian crossing improvements such as crosswalks, roadway/geometric changes, or reconfiguration specifically benefiting pedestrians.
- U. **Planning:** Identification of project and program current conditions and needs and development of strategies and plans to address the identified needs.
- V. **Planning area:** Four geographical sub-areas of the county (Planning Areas 1, 2, 3, and 4). The sub-areas of the county are defined by the Alameda CTC as follows:
1. Planning Area 1 – North Area: Cities of Alameda, Albany, Berkeley, Emeryville, Oakland and Piedmont
  2. Planning Area 2 – Central Area: Cities of Hayward and San Leandro, and the unincorporated areas of Castro Valley and San Lorenzo, as well as other unincorporated lands in that area
  3. Planning Area 3 – South Area: Cities of Fremont, Newark, and Union City
  4. Planning Area 4 – East Area: Cities of Dublin, Livermore, and Pleasanton, and all unincorporated lands in that area
- W. **Project completion/closeout:** Inspection/project acceptance, final invoicing, final reporting, and the processes for closing out a project.
- X. **Scoping and project feasibility:** Early capital project phases that identify project needs, costs, and implementation feasibility.
- Y. **Sidewalks and ramps:** New sidewalks, sidewalk maintenance, curb ramps, and stairs/ramps for pedestrian and Americans with Disabilities Act access.
- Z. **Signage:** Warning, regulatory, wayfinding, or informational signage.
- AA. **Signals:** New traffic signals or crossing signals, signal upgrades, countdown signals, audible signals, or signal timing improvements.
- BB. **Street resurfacing and maintenance:** Repaving and resurfacing of on-street surfaces, including striping.
- CC. **Traffic calming:** Infrastructure primarily aimed at slowing down motor vehicle traffic.
- DD. **Vehicle Registration Fee (VRF):** Measure F, Alameda County’s VRF Program, approved by the voters in November 2010 with 63 percent of the vote. It will generate approximately \$12 million per year through a \$10 per year vehicle registration fee. Administered by the Alameda CTC, the VRF funds

four main types of programs and the distribution percentage is as follows: local streets and roads (60 percent); transit (25 percent); local transportation technology (10 percent); and bicycle and pedestrian projects (5 percent).

## Section 5. Local Streets and Roads Fund Allocations

A. These Implementation Guidelines provide guidance on the Local Streets and Roads Fund allocation process for Measure B, Measure BB, and VRF Direct Local Distribution funds.

1. Measure B and Measure BB Local Streets and Roads Direct Local Distribution (DLD) Funds

- a. *General:* Alameda CTC distributes Measure B and Measure BB Local Streets and Roads DLD funds to cities in the county and to Alameda County to be spent on transportation capital improvements for surface streets and arterial roads, and maintenance and upkeep of local streets and roads, including repaving streets, filling potholes, and upgrading local transportation infrastructure. These funds are intended to maintain and improve local streets and roads in Alameda County, and may be used for any local transportation need based on local priorities, including streets and roads projects, local transit projects, bicycle and pedestrian projects, projects (sponsored by others) that require local agency support, and other transportation uses as approved through a public process by the jurisdiction.

The DLD funds constitute 100 percent of the total Measure B and Measure BB Local Streets and Roads funds. Each city and Alameda County will receive their proportional share (which share shall be adjusted annually as described in the Master Programs Funding Agreement) of the local transportation DLD funds within their sub-area based on a formula weighted 50 percent by the population of the jurisdiction within the sub-area and 50 percent on the number of road miles within the sub-area. These funds are allocated on a monthly basis directly to each city and the County. DLD funds must be placed in separate accounts for the Measure B, Measure BB, and VRF programs.

- b. *Eligible Uses:* The Measure B and Measure BB Local Streets and Roads DLD funds may be used for capital projects, programs, maintenance, or operations that directly improve local streets and roads and local transportation. Eligible uses for these funds include, but are not necessarily limited to:

- 1) Capital projects, including:
  - a) All phases of capital projects, including feasibility studies, planning, and environmental
  - b) Upgrades to or installation of new local streets and roads infrastructure including installation of streets, roads, and highways
  - c) Street resurfacing and maintenance including repaving and resurfacing of on-street surfaces including striping
  - d) Improvements or upgrades to bridges and tunnels
  - e) Installation of or upgrades to sidewalks and curb ramps
  - f) Americans with Disabilities Act (ADA) on-street improvements, including sidewalk upgrades and curb ramp installations
  - g) Purchase or lease of equipment or new vehicles for local streets and roads improvements

- h) Crossing improvements including traffic signals, signage, and traffic lights (at intersections, interchanges, railroads, freeways, etc.) for drivers, pedestrians, and bicyclists
  - i) Improvements to or installation of new pedestrian facilities (e.g., sidewalks, curb ramps, countdown signals, accessible signals, at-grade bike crossings)
  - j) Improvements or upgrades to or installation of new bikeways (such as bicycle routes, boulevards, lanes, multi-use pathways)
  - k) Maintenance of or installation of bicycle and pedestrian facilities, including construction, maintenance, and operations of bike parking facilities.
  - l) Pedestrian and bicycle access improvements to, from and at transit facilities
  - m) Traffic calming projects
- 2) Transit system operations, operations of traffic signal system controls and interconnections, and corridor monitoring and management
- 3) Mass transit project operations including bus, ferry, shuttle, rail, and Welfare to Work services
- 4) Paratransit services
- 5) Direct staff and consultant costs that support eligible activities, including the end-of-year compliance report
- 6) Direct staff training costs directly related to implementation of projects or programs implemented with the Local Streets and Roads Funds
- c. *Ineligible Uses:* The following is a list of ineligible uses of Measure B Local Streets and Roads DLD funds:
  - 1) Non-transportation projects such as fees charged to capital construction projects for services or amenities not related to transportation
  - 2) Capital projects, programs, maintenances, or operations that do not directly improve local streets and roads and local transportation
  - 3) Projects or programs that exclusively serve city/county staff
  - 4) Indirect costs, unless the RECIPIENT submits an independently audited/approved Indirect Cost Allocation Plan
- d. *List of Projects/Programs:* All projects and programs that use Measure B and Measure BB Local Streets and Roads DLD funds must receive governing board approval prior to the jurisdiction expending the DLD funding on the project/program. This approval allows the opportunity for the public to provide input on planning for local streets and roads projects. These projects and programs must be included in any of the following, as long as they have been adopted by the jurisdiction's governing board:
  - 1) List of projects on which to specifically spend Measure B funds

- 2) Local Streets and Roads Master Plan with priority projects
- 3) Capital Improvement Program
- 4) A resolution, such as to submit a grant application

2. VRF Local Streets and Roads DLD Funds

- a. *General:* Alameda CTC distributes VRF Local Streets and Roads DLD Funds to cities in the county and to Alameda County to be spent on transportation capital improvements for surface streets and arterial roads, and maintenance and upkeep of local streets and roads. These funds are intended to maintain and improve local streets and roads as well as a broad range of facilities in Alameda County (from local to arterial facilities).

The DLD funds constitute 100 percent of the total VRF Local Streets and Roads funds and are distributed among the four planning areas of the county. VRF local streets and roads DLD funds within the geographic planning area are based on a formula weighted 50 percent by the population of the jurisdiction within the planning area and 50 percent of the number of registered vehicles in the planning area. VRF local streets and roads funds will be distributed by population within a planning area. Allocations may change in the future based on changes in population and number of registered vehicle figures. Recipients are not required to enter into a separate agreement with Alameda CTC prior to receipt of such funds. Agencies will maintain all interest accrued from the VRF Local Road Program DLD funds within the program. These funds are allocated on a monthly basis directly to each city and the County. DLD funds must be placed in separate accounts for the Measure B, Measure BB, and VRF programs.

- b. *Eligible Uses:* The VRF Local Streets and Roads DLD funds may be used for improving, maintaining, and rehabilitating local roads and traffic signals. It will also incorporate the Complete Streets practice that makes local roads safe for all modes, including bicyclists and pedestrians, and accommodates transit. Eligible uses for these funds include, but are not necessarily limited to:

- 1) Street repaving and rehabilitation, including curbs, gutters and drains
- 2) Traffic signal maintenance and upgrades, including bicyclist and pedestrian treatments
- 3) Signage and striping on roadways, including traffic and bicycle lanes and crosswalks
- 4) Sidewalk repair and installation
- 5) Bus stop improvements, including bus pads, turnouts and striping
- 6) Improvements to roadways at rail crossings, including grade separations and safety protection devices
- 7) Improvements to roadways with truck or transit routing

- c. *Ineligible Uses:* The following is a list of ineligible uses of VRF Local Streets and Roads DLD funds:

- 1) Non-transportation projects such as fees charged to capital construction projects for services or amenities that are not related to transportation

- 2) Projects or programs that are not directly related to streets and roads improvements
- 3) Projects or programs that exclusively serve city/county staff
- 4) Indirect costs, unless the RECIPIENT submits an independently audited/approved Indirect Cost Allocation Plan.

## Section 6. Complete Streets Policy Requirement

- A. To receive Measure B and VRF funds, local jurisdictions must do both of the following with respect to Complete Streets policies:
1. Have an adopted Complete Streets policy.
  2. Comply with the California Complete Streets Act of 2008. The California Complete Streets Act (AB1358) requires that local general plans do the following:
    - a. Commencing January 1, 2011, upon any substantial revision of the circulation element, the legislative body shall modify the circulation element to plan for a balanced, multimodal transportation network that meets the needs of all users of the streets, roads, and highways for safe and convenient travel in a manner that is suitable to the rural, suburban, or urban context of the general plan.
    - b. For the purposes of this paragraph, “users of streets, roads, and highways” means bicyclists, children, persons with disabilities, motorists, movers of commercial goods, pedestrians, users of public transportation, and seniors.

The Governor’s Office of Planning and Research has developed detailed guidance for meeting this law: *Update to the General Plan Guidelines: Complete Streets and the Circulation Element* ([http://www.opr.ca.gov/planning/docs/Update\\_GP\\_Guidelines\\_Complete\\_Streets.pdf](http://www.opr.ca.gov/planning/docs/Update_GP_Guidelines_Complete_Streets.pdf)).

## Section 7. Pavement Condition Index Reporting

- A. To receive Measure B, Measure BB, and VRF funds, local jurisdictions must do both of the following with respect to the reporting of an agency’s pavement condition (PCI) index:
1. Annually report on the citywide pavement condition index (PCI), which rates the “health” of local streets from 1 to 100, in the Annual Program Compliance Report Form. Where applicable, this information will be consistent with material provided for MTC reporting requirements.
  2. If the PCI falls below a total average index of 60 (fair condition), specify in the Annual Program Compliance Report what funding amounts, policies, or other needs are required to enable increasing the recipient’s PCI to 60 or above.

## Section 8. Advancement of Direct Local Distribution Funds

- A. The Alameda CTC may consider advancing future year DLD funds, with the goal of seeing improvements made in the near term. If a jurisdiction is interested in this option, a written request to the Alameda CTC Director of Finance and Administration and a copy to the Deputy Director of Projects and Programs, indicating the amount of funds requested and the projects on which the funds will be spent, is required. Requests will be considered on an individual basis.

## **Section 9. Adoption of Implementation Guidelines**

- A. Implementation Guidelines are adopted by the Alameda CTC on an as-needed basis. Changes to Implementation Guidelines will be brought through the Alameda CTC's Technical Advisory Committee for review and comment, as well as any other Alameda CTC committees as necessary, before changes are adopted by the Alameda CTC Commission.



**Alameda County Transportation Commission  
Implementation Guidelines for  
the Mass Transit Program Funded through  
Measure B, Measure BB, and Vehicle Registration Fees**

**Section 1. Purpose**

- A. To delineate eligible uses of Mass Transit funds authorized under Alameda County Transportation Commission Master Program Funding Agreements, these implementation guidelines have been developed to specify the requirements that local jurisdictions must follow in their use of Measure B, Measure BB, Vehicle Registration Fees (VRF) Direct Local Distributions and discretionary funds. These guidelines are incorporated by reference in the Master Programs Funding Agreements. All other terms and conditions for programs are contained in the agreements themselves. The intent of the implementation guidelines is to:
1. Provide guidance on Mass Transit funds eligible uses and expenditures.
  2. Define the terms in the Master Programs Funding Agreements.
  3. Guide Mass Transit Program implementation.

**Section 2. Authority**

- A. These Implementation Guidelines have been adopted by the Alameda County Transportation Commission and set forth eligible uses and expenditures for the Mass Transit funds. The Alameda CTC may update these guidelines on an as-needed basis and will do so with involvement of its technical and community advisory committees (as applicable). Exceptions to these guidelines must be requested in writing and be approved by the Alameda CTC Commission.

**Section 3. Background**

Alameda CTC developed Implementation Guidelines for the Mass Transit funds to clarify eligible fund uses and expenditures in association with Master Programs Funding Agreements for the November 2000 voter-approved Measure B Direct Local Distribution funds (formally known as “pass-through funds”). In 2012, the Master Programs Funding Agreements were updated to include the voter approved Measure F - Vehicle Registration Fee (VRF) program. In November 2014, voters approved the 2014 Transportation Expenditure Plan, Measure BB, and new Master Programs Funding Agreements were subsequently developed to incorporate Measure BB funds.

**Section 4. Definition of Terms**

- A. **Alameda CTC:** The Alameda County Transportation Commission is a Joint Powers Authority created by the merger of the Alameda County Congestion Management Agency, which performed long-range planning and funding for countywide transportation projects and programs, and the Alameda County Transportation Improvement Authority, which administered the voter-approved, half-cent transportation sales taxes in Alameda County (the Measure B sales tax programs approved in 1986 and 2000).
- B. **Capital project:** A capital investment that typically requires the following phases: planning/feasibility, scoping, environmental clearance, design, right-of-way, construction, and completion.
- C. **Construction:** Construction of a new capital project, including development of preliminary engineering and construction documents, including plans, specifications, and estimates (PS&E).

- D. **Cost Allocation Plans (CAPs):** CAPs and indirect cost (IDC) rate proposals are plans that provide a systematic manner to identify, accumulate, and distribute allowable direct and indirect costs to Mass Transit programs funded through the Alameda CTC Master Programs Funding Agreements.
- E. **Direct cost:** A cost completely attributed to the provision of a service, operations, a program, a capital cost, or a product. These costs include documented hourly project staff labor charges (salaries, wages, and benefits) that are directly and solely related to the implementation of Alameda CTC-funded Mass Transit projects, consultants, and materials. These funds may be used for travel or training if they are directly related to the implementation of the Mass Transit funds.
- F. **Direct Local Distribution funds:** Funds allocated based on a funding formula (such as population, registered vehicles, roadmiles, or a combination thereof) defined in a voter-approved measure and provided to eligible jurisdictions on a regularly scheduled basis (such as a regular monthly payment).
- G. **Education and promotion:** Marketing, education, information, outreach, and promotional campaigns and programs.
- H. **Environmental documents:** Preparation of environmental documents, such as those related to the California Environmental Quality Act (CEQA) or the National Environmental Policy Act (NEPA), or permits required by state or federal permitting agencies.
- I. **Equipment and new vehicles:** Purchase or lease of vehicles. Equipment for service improvements, such as information dissemination, fare collection, etc.
- J. **Express bus service:** Either of these types of rapid bus service:
  - 1. Service within zones with a defined pick-up area, nonstop express bus service, and a defined drop-off zone.
  - 2. Service that provides a simple route layout, has frequent service and fewer stops than regular fixed route service, and may include level boarding, bus priority at traffic signals, signature identification of the rapid buses such as color-coded buses and stops, and enhanced stations.
- K. **Grants:** Funding for plans, programs, or projects based on a competitive call for projects; evaluated based on adopted evaluation criteria; and allocated based on a reimbursement basis.
- L. **Indirect cost:** Also known as “overhead,” any cost of doing business other than direct costs. These costs include utilities, rent, administrative staff, officers’ salaries, accounting department costs, and personnel department costs, which are requisite for general operation of the organization but are not directly allocable to a particular service or product.
- M. **Maintenance:** Repairs, renovation, or upgrade of existing facility or infrastructure.
- N. **Measure B:** Alameda County’s half-cent transportation sales tax, originally approved in 1986, and reauthorized by voters in November 2000. Collection of the sales tax began on April 1, 2002. Administered by the Alameda CTC, Measure B funds four types of programs in 20 local jurisdictions: bicycle and pedestrian, local streets and roads, mass transit, and paratransit.
- O. **Measure BB:** Alameda County voters approved Measure BB, the 2014 Transportation Expenditure Plan, in November 2014. It authorizes the collection of a half-cent transportation sales tax and augments the existing 2000 Measure B sales tax program. Collection of the sales tax began on April 1, 2015. Administered by the Alameda CTC, Measure BB funds four types of programs in 20 local jurisdictions: bicycle and pedestrian, local streets and roads, mass transit, and paratransit.
- P. **Operations:** Provision of services that operate transportation facilities and programs. Operations costs do not include the costs to operate community outreach or other programs not directly related to a specific transportation service, program, or product.

- Q. **Planning:** Identification of project and program current conditions and needs and development of strategies and plans to address the identified needs.
- R. **Planning area:** Four geographical sub-areas of the county (Planning Areas 1, 2, 3, and 4). The sub-areas of the county are defined by the Alameda CTC as follows:
1. Planning Area 1 – North Area: Cities of Alameda, Albany, Berkeley, Emeryville, Oakland and Piedmont
  2. Planning Area 2 – Central Area: Cities of Hayward and San Leandro, and the unincorporated areas of Castro Valley and San Lorenzo, as well as other unincorporated lands in that area
  3. Planning Area 3 – South Area: Cities of Fremont, Newark, and Union City
  4. Planning Area 4 – East Area: Cities of Dublin, Livermore, and Pleasanton, and all unincorporated lands in that area
- S. **Project completion/closeout:** Inspection/project acceptance, final invoicing, final reporting, and the processes for closing out a project.
- T. **Safety improvements:** Safety or security improvements for operators, passengers, service users, facilities, and infrastructure or property.
- U. **Scoping and project feasibility:** Early capital project phases that identify project needs, costs, and implementation feasibility.
- V. **Vehicle Registration Fee (VRF):** Measure F, Alameda County’s VRF Program, approved by the voters in November 2010 with 63 percent of the vote. It will generate approximately \$11 million per year through a \$10 per year vehicle registration fee. Administered by the Alameda CTC, the VRF funds four main types of programs and the distribution percentage is as follows: local streets and roads (60 percent); transit (25 percent); local transportation technology (10 percent); and bicycle and pedestrian projects (5 percent).
- W. **Welfare to Work:** Transit services to enhance transportation opportunities for persons making the transition from welfare to work.

## Section 5. Mass Transit Fund Allocations

- A. These Implementation Guidelines provide guidance on the Mass Transit Fund allocation process for Measure B and Measure BB Direct Local Distribution funds and Measure B Express Bus Services Grant Program and VRF Transit for Congestion Relief Program funds.
1. Measure B Mass Transit Direct Local Distribution (DLD) Funds
    - a. *General:* Alameda CTC distributes Measure B and Measure BB Mass Transit DLD Funds to transit operators in Alameda County to be spent on maintenance of transit services, restoration of service cuts, expansion of transit services, and passenger safety and security. Transit operators in Alameda County receive their proportional share of mass transit DLD funds based on percentages of net revenues generated by the Measure B and Measure BB sales and use taxes (which share shall be adjusted annually as described in the Master Programs Funding Agreement). These funds are allocated on a monthly basis directly to each transit operator.
    - b. *Eligible Uses:* The Measure B and Measure BB Mass Transit DLD funds may be used for capital projects, programs, maintenance, or operations that directly improve mass transit services. Eligible uses for these funds include, but are not necessarily limited to:

- 1) Capital projects, including:
    - a) All phases of capital projects, including feasibility studies, planning, and environmental
    - b) Upgrades to or expansions to bus, ferry, rail, and shuttle infrastructure
    - c) Purchase or lease of equipment or new vehicles for transit services
  - 2) Mass transit system operations and services, including commuter rail; express, local, and feeder bus; and ferry
  - 3) Paratransit services
  - 4) Welfare to Work services
  - 5) Direct staff and consultant costs to develop, plan, implement, operate and maintain transit projects and programs
  - 6) Direct staff and consultant costs that support eligible activities, including the end-of-year compliance report
  - 7) Direct staff training costs directly related to implementation of projects or programs implemented with the Mass Transit Funds
  - c. *Ineligible Uses:* The following is a list of ineligible uses of Measure B and Measure BB Mass Transit DLD funds:
    - 1) Non-transportation projects such as fees charged to capital construction projects for services or amenities not related to transportation
    - 2) Capital projects, programs, maintenances, or operations that does not directly improve mass transit services
    - 3) Projects or programs that exclusively serve city/county staff
    - 4) Indirect costs, unless the RECIPIENT submits an independently audited/approved Indirect Cost Allocation Plan.
2. Measure B Express Bus Services Grant Program Funds
- a. The Measure B Expenditure Plan dedicates 0.7 percent of net revenues for the Countywide Express Bus Service fund for express bus service projects. The Alameda CTC will administer a Measure B Countywide Express Bus Services discretionary grant program. The Alameda CTC will adopt *Grant Program Guidelines* before each grant cycle that will establish the guiding policies for that grant cycle, and will widely publicize each grant funding cycle.
  - b. Two agencies are eligible to receive express bus services grant funds:
    - 1) Alameda-Contra Costa Transit District (AC Transit)
    - 2) Livermore Amador Valley Transit Authority (LAVTA)Fund recipients must enter into a separate agreement with Alameda CTC.
3. VRF Transit for Congestion Relief Program Funds

- a. The VRF Expenditure Plan dedicates 25 percent of net revenues for transit projects that provide congestion relief. Alameda CTC awards VRF Transit for Congestion Relief Grant Program funds on a discretionary basis. These funds are intended to make it easier for drivers to use public transportation, make the existing transit system more efficient and effective, and improve access to schools and jobs. The goal of this program is to decrease automobile usage and thereby reduce both localized and area-wide congestion and air pollution. Fund recipients must enter into a separate agreement with Alameda CTC.
- b. *Eligible Uses:* VRF Transit for Congestion Relief Grant Program Guidelines provide program eligibility and fund usage guidelines and requirements, definitions of terms, evaluation criteria, award details, and monitoring requirements.

#### **Section 6. Advancement of Direct Local Distribution Funds**

- A. The Alameda CTC may consider advancing future year DLD funds, with the goal of seeing improvements made in the near term. If a jurisdiction is interested in this option, a written request to the Alameda CTC Director of Finance and Administration and a copy to the Deputy Director of Projects and Programs, indicating the amount of funds requested and the projects on which the funds will be spent, is required. Requests will be considered on an individual basis.

#### **Section 7. Adoption of Implementation Guidelines**

- A. Implementation Guidelines are adopted by the Alameda CTC on an as-needed basis. Changes to Implementation Guidelines will be brought through the Alameda CTC's Technical Advisory Committee for review and comment, as well as any other Alameda CTC committees as necessary, before changes are adopted by the Alameda CTC Commission.

**Alameda County Transportation Commission  
Implementation Guidelines for the  
Paratransit Program Funded through  
Measure B and Measure BB**

**Section 1. Purpose**

- A. To delineate eligible uses of Paratransit funds authorized under Alameda County Transportation Commission Master Programs Funding Agreements, these implementation guidelines have been developed to specify the requirements that local jurisdictions must follow in their use of Measure B and Measure BB Direct Local Distributions funds and discretionary funds. These guidelines are incorporated by reference in the Master Programs Funding Agreements. All other terms and conditions for programs are contained in the agreements themselves. The intent of the implementation guidelines is to:
1. Provide guidance on Paratransit funds eligible uses and expenditures.
  2. Define the terms in the Master Programs Funding Agreements.
  3. Guide Paratransit Program implementation.

**Section 2. Authority**

- A. These Implementation Guidelines have been adopted by the Alameda County Transportation Commission and set forth eligible uses and expenditures for the Paratransit funds. The Alameda CTC may update these guidelines on an as-needed basis and will do so with involvement of its technical and community advisory committees (as applicable). Exceptions to these guidelines must be requested in writing and be approved by the Alameda CTC Commission.

**Section 3. Background**

- A. Alameda CTC developed Implementation Guidelines for the Paratransit funds to clarify eligible fund uses and expenditures in association Master Programs Funding Agreements for the November 2000 voter-approved Measure B Direct Local Distribution (formally known as “pass-through funds”). In November 2014, voters approved the 2014 Transportation Expenditure Plan, Measure BB, and new Master Programs Funding Agreements were subsequently developed to incorporate Measure BB funds. The expenditure plans allocates 10.45 percent of Measure B funds and 10 percent of Measure BB funds for special transportation for seniors and people with disabilities (paratransit) programs and projects.

**Section 4. Definition of Terms**

- A. **Alameda CTC:** The Alameda County Transportation Commission is a Joint Powers Authority created by the merger of the Alameda County Congestion Management Agency, which performed long-range planning and funding for countywide transportation projects and programs, and the Alameda County Transportation Improvement Authority, which administered the voter-approved, half-cent transportation sales taxes in Alameda County (the Measure B sales tax programs approved in 1986 and 2000).
- B. **Americans with Disabilities Act (ADA):** According to the U.S. Equal Employment Opportunity Commission, originally passed in 1990 and revised in 2008, a law that prohibits private employers, state and local governments, employment agencies and labor unions from discriminating against qualified individuals with disabilities in job application procedures, hiring, firing, advancement, compensation, job training, and other terms, conditions, and privileges of employment. The ADA also requires reasonable accommodations for individuals with disabilities and has resulted in the removal of many barriers to transportation and in better access for seniors and people with disabilities.

- C. **Capital project:** A capital investment that typically requires the following phases: planning/feasibility, scoping, environmental clearance, design, right-of-way, construction, and completion. For paratransit programs, may be an investment in vehicles or equipment directly related to providing paratransit services.
- D. **Construction:** Construction of a new capital project, including development of preliminary engineering and construction documents, including plans, specifications, and estimates (PS&E).
- E. **Cost Allocation Plans (CAPs):** CAPs and indirect cost (IDC) rate proposals are plans that provide a systematic manner to identify, accumulate, and distribute allowable direct and indirect costs to Paratransit programs funded through the Alameda CTC Master Programs Funding Agreements.
- F. **Customer service and outreach:** Customer service functions as well as costs associated with marketing, education, outreach, and promotional campaigns and programs.
- G. **Direct cost:** A cost completely attributed to the provision of a service, operations, a program, a capital cost, or a product. These costs include documented hourly project staff labor charges (salaries, wages, and benefits) that are directly and solely related to the implementation of the Alameda CTC-funded Paratransit projects, consultants, and materials. These funds may be used for travel or training if they are directly related to the implementation of the Paratransit funds.
- H. **Direct Local Distribution funds:** Funds allocated based on a funding formula (such as population, registered vehicles, roadmiles, or a combination thereof) defined in a voter-approved measure and provided to eligible jurisdictions on a regularly scheduled basis (such as a regular monthly payment).
- I. **East Bay Paratransit (EBP) ticket purchase:** Amount paid to East Bay Paratransit for tickets plus associated costs, for example, distribution.
- J. **Education and promotion:** Marketing, education, information, outreach, and promotional campaigns and programs.
- K. **Environmental documents:** Preparation of environmental documents, such as those related to the California Environmental Quality Act (CEQA) or the National Environmental Policy Act (NEPA), or permits required by state or federal permitting agencies.
- L. **Grants:** Funding for plans, programs, or projects based on a competitive call for projects; evaluated based on adopted evaluation criteria; and allocated based on a reimbursement basis.
- M. **Group trips:** One-way passenger trips considered group trips. Includes vehicle operation and contracts. See individual demand-response trips.
- N. **Indirect cost:** Also known as “overhead,” any cost of doing business other than direct costs. These costs include utilities, rent, administrative staff, officers’ salaries, accounting department costs, and personnel department costs, which are requisite for general operation of the organization but are not directly allocable to a particular service or product.
- O. **Individual demand-response trips:** Taxi service, door-to-door trips, and van trips that passengers request on demand. Includes actual operation cost and contracts for vehicle operation, scheduling, dispatching, vehicle maintenance, supervision, and fare collection (including ticket or scrip printing and sales) for the purpose of carrying passengers.
- P. **Maintenance:** Repairs, renovation, or upgrade of existing facility, infrastructure, or vehicles.
- Q. **Management:** Direct staffing costs and benefits to manage programs, projects, and services.
- R. **Meal delivery:** Service that includes costs associated with vehicle operation, scheduling, dispatching, vehicle maintenance, and supervision for the purpose of delivering meals, whether provided in-house, through contracts, via taxicab, or by grantees. See Meals on Wheels.

- S. **Meals on Wheels:** Service that is part of a Senior Nutrition Program and provides delivery of meals to seniors and people with disabilities. See meal delivery.
- T. **Measure B:** Alameda County's half-cent transportation sales tax, originally approved in 1986, and reauthorized by voters in November 2000. Collection of the sales tax began on April 1, 2002. Administered by the Alameda CTC, Measure B funds four types of programs in 20 local jurisdictions: bicycle and pedestrian, local streets and roads, mass transit, and paratransit.
- U. **Measure BB:** Alameda County voters approved Measure BB, the 2014 Transportation Expenditure Plan, in November 2014. It authorizes the collection of a half-cent transportation sales tax and augments the existing 2000 Measure B sales tax program. Collection of the sales tax began on April 1, 2015. Administered by the Alameda CTC, Measure BB funds four types of programs in 20 local jurisdictions: bicycle and pedestrian, local streets and roads, mass transit, and paratransit.
- V. **Operations:** Provision of services that operate transportation facilities and programs. Operations costs do not include the costs to operate community outreach or other programs not directly related to a specific transportation service, program, or product.
- W. **Paratransit Advisory and Planning Committee:** Originally named by the Measure B Expenditure Plan as the Alameda County Paratransit Coordinating Council, the Alameda CTC committee that meets to address funding, planning, and coordination issues regarding paratransit services in Alameda County. Members must be an Alameda County resident and an eligible user of any transportation service available to seniors and people with disabilities in Alameda County. PAPCO is supported by a Technical Advisory Committee comprised of Measure B and Measure BB-funded paratransit providers in Alameda County.
- X. **Paratransit service:** Transportation services for seniors and people with disabilities including ADA-mandated or non-mandated shuttle or fixed-route services, including door-to-door services, group trips, and individual demand-response trip services; taxi programs; Meals on Wheels or meal delivery; volunteer driver programs; and purchase of EBP tickets.
- Y. **Planning:** Identification of project and program current conditions and needs and development of strategies and plans to address the identified needs.
- Z. **Project completion/closeout:** Inspection/project acceptance, final invoicing, final reporting, and the processes for closing out a project.
- AA. **Scoping and project feasibility:** Early capital project phases that identify project needs, costs, and implementation feasibility.
- BB. **Shuttle or fixed-route trips:** Shuttle service or fixed-route bus service, for example. Includes vehicle operation and contracts. See individual demand-response trips.

## Section 5. Paratransit Fund Allocations

- A. These Implementation Guidelines provide guidance on the Paratransit Fund allocation process for Measure B and Measure BB Direct Local Distribution funds and Paratransit Gap Grant Program funds.
  - 1. Measure B and Measure BB Paratransit Direct Local Distribution Funds
    - a. *General:* Alameda CTC distributes Measure B and Measure BB Paratransit Direct Local Distribution (DLD) Funds to fixed-route public transit operators that are required to provide transportation services mandated by the ADA; and to cities in Alameda County and the County to provide non-mandated services, aimed at improving mobility for seniors and persons with disabilities.



- 1) A portion of the funds as defined in the Master Programs Funding Agreement are local DLD funds distributed to Alameda County cities to provide non-mandated transportation services for seniors and people with disabilities allocated to each city operating paratransit service through a census-based funding formula that is developed by PAPCO and approved by the Alameda CTC Commission.
  - 2) A portion of the funds as defined in the Master Programs Funding Agreement are DLD funds distributed to Alameda County's primary mandated ADA service provider, East Bay Paratransit Consortium.
  - b. *Eligible Uses:* The Measure B and Measure BB Paratransit DLD funds may be used for capital projects, programs, maintenance, or operations that directly improve paratransit services. Eligible uses for these funds include services as defined in Attachment A, as well as, but not limited to:
    - 1) Direct staff and consultant costs to develop, plan, implement, manage, operate and maintain paratransit projects and programs
    - 2) Direct staff and consultant costs to provide customer service and outreach for paratransit projects and programs
    - 3) Direct staff and consultant costs that support eligible activities, including the end-of-year compliance report
    - 4) Direct staff training costs directly related to implementation of projects or programs implemented with the Paratransit Funds
  - c. *Ineligible Uses:* The following is a list of ineligible uses of Measure B and Measure BB Paratransit DLD funds:
    - 1) Non-transportation projects or services such as fees charged to capital construction projects for services or amenities not related to transportation
    - 2) Capital projects, programs, maintenance, or operations that do not directly improve paratransit services
    - 3) Projects or programs that exclusively serve city/county staff
    - 4) Indirect costs, unless the RECIPIENT submits an independently audited/approved Indirect Cost Allocation Plan.
2. Measure B and Measure BB Paratransit Discretionary Grant Program Funds
- a. The Measure B Expenditure Plan dedicates 1.43 percent of the funds for gaps in services to be recommended by PAPCO to reduce differences that might occur based on the geographic residence of any individual needing services. The Alameda CTC will administer a Measure B Paratransit discretionary grant program.
  - b. The Measure BB Expenditure Plan dedicates 1.0 percent of the funds for paratransit coordination and services to meet the needs of seniors and people with disabilities. The Alameda CTC will administer a Measure B Paratransit discretionary grant program.
  - c. The Alameda CTC adopt Grant Program Guidelines through its programming and allocation processes to guide the grant allocations.

- d. Gap funds provide Alameda County with the opportunity to be innovative and explore alternative service delivery mechanisms in the face of a senior and disability population expected to grow substantially over the next 30 years. The population of people likely to need paratransit service is expected to outpace the growth in sales tax revenues that fund paratransit programs in Alameda County, including city-based programs and ADA-mandated services.
- e. Gap funds provide an opportunity to minimize the differences in service experienced by consumers based on their geographic location.

#### **Section 6. Advancement of Direct Local Distribution Funds**

- A. The Alameda CTC may consider advancing future year DLD funds, with the goal of seeing improvements made in the near term. If a jurisdiction is interested in this option, a written request to the Alameda CTC Director of Finance and Administration and a copy to the Deputy Director of Projects and Programs, indicating the amount of funds requested and the projects on which the funds will be spent, is required. Requests will be considered on an individual basis.

#### **Section 7. Adoption of Implementation Guidelines**

- A. Implementation Guidelines are adopted by the Alameda CTC on an as-needed basis. Changes to Implementation Guidelines will be brought through the Alameda CTC's Technical Advisory Committee for review and comment, as well as any other Alameda CTC committees as necessary, before changes are adopted by the Alameda CTC Commission.

## **Implementation Guidelines and Performance Measures – Special Transportation for Seniors and People with Disabilities Program**

### **Implementation Guidelines**

These guidelines lay out the service types that are eligible to be funded with Alameda County Measure B (2000), Measure BB (2014) and Vehicle Registration Fee (VRF, 2010) revenues under the Special Transportation for Seniors and People with Disabilities Program (Paratransit). All programs funded partially or in their entirety through these sources, including ADA-mandated paratransit services, city-based non-mandated programs and discretionary grant funded projects, must abide by the following requirements for each type of paratransit service.

Fund recipients are able to select which of these service types are most appropriate for their community to meet the needs of seniors and people with disabilities. Overall, all programs should be designed to enhance quality of life for seniors and people with disabilities by offering accessible, affordable and convenient transportation options to reach major medical facilities, grocery stores and other important travel destinations to meet life needs. Ultimately, whether a destination is important should be determined by the consumer.

The chart below summarizes the eligible service types and their basic customer experience parameters; this is followed by more detailed descriptions of each.

Service	Timing	Accessibility	Origins/ Destinations	Eligible Population
ADA Paratransit	Pre-scheduled	Accessible	Origin-to-Destination	People with disabilities unable to ride fixed route transit
Door-to-Door Service	Pre-scheduled	Accessible	Origin-to-Destination	People with disabilities unable to ride fixed route transit and seniors
Taxi Subsidy	Same Day	Varies	Origin-to-Destination	Seniors and people with disabilities

Service	Timing	Accessibility	Origins/ Destinations	Eligible Population
<b>Specialized Accessible Van</b>	Pre-scheduled & Same Day	Accessible	Origin-to-Destination	People with disabilities using mobility devices that require lift- or ramp-equipped vehicles
<b>Accessible Shuttles</b>	Fixed Schedule	Accessible	Fixed or Flexed Route	Seniors and people with disabilities
<b>Group Trips</b>	Pre-scheduled	Varies	Round Trip Origin-to-Destination	Seniors and people with disabilities
<b>Volunteer Drivers</b>	Pre-scheduled	Generally Not Accessible	Origin-to-Destination	Vulnerable populations with special needs, e.g. requiring door-through-door service or escort
<b>Mobility Management and/or Travel Training</b>	N/A	N/A	N/A	Seniors and people with disabilities
<b>Scholarship/ Subsidized Fare Programs</b>	N/A	N/A	N/A	Seniors and people with disabilities
<b>Meal Delivery Programs</b>	N/A	N/A	N/A	Meal delivery programs currently funded by Measure B may continue, but new programs may not be established.
<b>Capital Expenditures</b>	N/A	Accessible	N/A	Seniors and people with disabilities

Service	Timing	Accessibility	Origins/ Destinations	Eligible Population
Hospital Discharge Transportation Service (HDTS)/Wheelchair Scooter Breakdown Transportation Service (WSBTS)	Same Day	Accessible	Origin-to-Destination	People with disabilities using mobility devices that require lift- or ramp-equipped vehicles

***Note on ADA Mandated Paratransit:*** Programs mandated by the American's with Disabilities Act are implemented and administered according to federal guidelines that may supersede these guidelines; however all ADA-mandated programs funded through Measure B and BB or the VRF are subject to the terms of the Master Programs Funding Agreement.

***Interim Service for Consumers Awaiting ADA Certification:*** At the request of a health care provider, or ADA provider, city-based programs must provide interim service through the programs listed below to consumers awaiting ADA certification. Service must be provided within three business days of receipt of application.

***Note on Capital Expenditures:*** Any capital expenditures within the eligible service categories must be consistent with the objectives of the Alameda CTC Special Transportation for Seniors and Peoples with Disabilities (Paratransit) Program described above and are subject to review by Alameda CTC staff prior to implementation.

City-based Door-to-Door Service Guidelines	
Service Description	<p>City-based door-to-door services provide pre-scheduled, accessible, door-to-door trips. Some programs allow same day reservations on a space-available basis. They provide a similar level of service to mandated ADA services. These services are designed to fill gaps that are not met by ADA-mandated providers and/or relieve ADA-mandated providers of some trips.</p> <p>This service type does not include taxi subsidies which are discussed below.</p>
Eligible Population	<p>Eligible Populations include:</p> <ol style="list-style-type: none"> <li>1. People 18 and above with disabilities who are unable to use fixed route services. Cities may, at their discretion, also provide services to consumers with disabilities under the age of 18, and</li> <li>2. Seniors 80 years or older without proof of a disability. Cities may provide services to consumers who are younger than age 80, but not younger than 70 years old.</li> </ol> <p><i>Cities may continue to offer "grandfathered" eligibility to program registrants below 70 years old who have used the program regularly in FY 11/12, as long as it does not impinge on the City's ability to meet the minimum requirements of the Implementation Guidelines.</i></p> <p><i>Program sponsors may use either ADA eligibility, as established by ADA-mandated providers (incl. East Bay Paratransit, LAVTA, Union City Transit) or the Alameda County City-Based Paratransit Services Medical Statement Form, as proof of disability. Program sponsors may, at their discretion, also offer temporary eligibility due to disability.</i></p>
Time & Days of Service	<p>At a minimum, service must be available any five days per week between the hours of 8 am and 5 pm (excluding holidays).</p> <p>At a minimum, programs must accept reservations between the hours of 9 am and 5 pm Monday – Friday (excluding holidays).</p>
Fare (Cost to Customer)	<p>Fares for pre-scheduled service should not exceed local ADA paratransit fares, but can be lower, and can be equated to distance. Higher fares can be charged for "premium" same-day service.</p>

City-based Door-to-Door Service Guidelines	
Other	<p>Door-to-Door programs must demonstrate that they are providing trips at an equal or lower cost than the ADA-mandated provider on a cost per trip basis. Cost per trip is defined as total cost (all sources) during a reporting period divided by the number of one-way trips, including attendant and companion trips, provided during period.</p> <p>Programs may impose per person trip limits to due to budgetary constraints, but any proposed trip limitations that are based on trip purpose must be submitted to Alameda CTC staff for review prior to implementation.</p>

Taxi Subsidy Program Guidelines	
Service Description	<p>Taxis provide curb-to-curb service that can be scheduled on a same-day basis. They charge riders on a distance/time basis using a meter. Taxi subsidy programs allow eligible consumers to use taxis at a reduced fare by reimbursing consumers a percentage of the fare or by providing some fare medium, e.g. scrip or vouchers, which can be used to cover a portion of the fare. These programs are intended for situations when consumers cannot make their trip on a pre-scheduled basis.</p> <p>The availability of accessible taxi cabs varies by geographical area and taxi provider, but programs should expand availability of accessible taxi cabs where possible in order to fulfill requests for same-day accessible trips.</p>
Eligible Population	<p>Eligible Populations include:</p> <ol style="list-style-type: none"> <li>1. People 18 and above with disabilities who are unable to use fixed route services. Cities may, at their discretion, also provide services to consumers with disabilities under the age of 18, and</li> <li>2. Seniors 80 years or older without proof of a disability. Cities may provide services to consumers who are younger than age 80, but not younger than 70 years old.</li> </ol> <p><i>Cities may continue to offer "grandfathered" eligibility to program registrants below 70 years old who were enrolled in the program in FY 11/12 and have continued to use it regularly, as long as it does not impinge on the City's ability to meet the minimum requirements of the Implementation Guidelines.</i></p> <p><i>Program sponsors may use either ADA eligibility, as established by ADA-mandated providers (incl. East Bay Paratransit, LAVTA, Union City</i></p>

Taxi Subsidy Program Guidelines	
	<p><i>Transit) or the Alameda County City-Based Paratransit Services Medical Statement Form, as proof of disability. Program sponsors may, at their discretion, also offer temporary eligibility due to disability.</i></p> <p><i>ADA-mandated providers that are not also city-based providers (East Bay Paratransit and LAVTA) are not required to provide service to seniors 80 years or older without ADA eligibility.</i></p>
Time & Days of Service	24 hours per day/7 days per week
Fare (Cost to Customer)	<p>Programs must subsidize at least 50% of the taxi fare.</p> <p>Programs can impose a cap on total subsidy per person. This can be accomplished through a maximum subsidy per trip, a limit on the number of vouchers/scrip (or other fare medium) per person, and/or a total monetary subsidy per person per year.</p>
Other	Programs may also use funding to provide incentives to drivers and/or transportation providers to ensure reliable service. Incentives are often utilized to promote accessible service. Planned expenditures on incentives are subject to review by Alameda CTC staff prior to implementation.

City-based Specialized Accessible Van Service Guidelines	
Service Description	<p>Specialized Accessible van service provides accessible, door-to-door trips on a pre-scheduled or same-day basis. This service category is not intended to be as comprehensive as primary services (i.e. ADA-mandated, City-based Door-to-Door, or Taxi programs), but should be a complementary supplement in communities where critical needs for accessible trips are not being adequately met by the existing primary services. Examples of unmet needs might be a taxi program without accessible vehicles, medical trips for riders with dementia unable to safely take an ADA-mandated trip, or trips outside of the ADA-mandated service area. When possible, a priority for this service should be fulfilling requests for same-day accessible trips.</p> <p>This service may make use of fare mediums such as scrip and vouchers to allow consumers to pay for rides.</p>
Eligible Population	At discretion of program sponsor with local consumer input.



Time & Days of Service	At discretion of program sponsor with local consumer input.
Fare (Cost to Customer)	At discretion of program sponsor with local consumer input.
Other	Specialized Accessible van programs must demonstrate that they are providing trips at an equal or lower cost to the provider than the ADA-mandated provider on a cost per trip basis, except if providing same-day accessible trips. Cost per trip is defined as total cost (all sources) during a reporting period divided by the number of one-way trips, including attendant and companion trips, provided during period.

Accessible Shuttle Service Guidelines	
Service Description	<p>Shuttles are accessible vehicles that operate on a fixed, deviated, or flex-fixed route and schedule. They serve common trip origins and destinations visited by eligible consumers, e.g. senior centers, medical facilities, grocery stores, BART and other transit stations, community centers, commercial districts, and post offices.</p> <p>Shuttles should be designed to supplement existing fixed route transit services. Routes should not necessarily be designed for fast travel, but to get as close as possible to destinations of interest, such as going into parking lots or up to the front entrance of a senior living facility. Shuttles are often designed to serve active seniors who do not drive but are not ADA paratransit registrants.</p>
Eligible Population	Shuttles should be designed to appeal to older people, but can be made open to the general public.
Time and Days of Service	At discretion of program sponsor with local consumer input.
Fare (Cost to Customer)	At discretion of program sponsor, but cannot exceed local ADA paratransit fares. Fares may be scaled based on distance.

<b>Accessible Shuttle Service Guidelines</b>	
Cost of Service	By end of the second fiscal year of service, the City's cost per one-way person trip cannot exceed \$20, including transportation and direct administrative costs. Cost per trip is defined as total cost (all sources) during a reporting period divided by the number of one-way trips, including attendant and companion trips, provided during period.
Other	<p>Shuttles are required to coordinate with the local fixed route transit provider.</p> <p>Shuttle routes and schedules should be designed with input from the senior and disabled communities and to ensure effective design, and any new shuttle plan must be submitted to Alameda CTC staff for review prior to implementation.</p> <p>Deviations and flag stops are permitted at discretion of program sponsor.</p>

<b>Group Trips Service Guidelines</b>	
Service Description	Group trips are round-trip rides for pre-scheduled outings, including shopping trips, sporting events, and community health fairs. These trips are specifically designed to serve the needs of seniors and people with disabilities and typically originate from a senior center or housing facility and are generally provided in accessible vans and other vehicle types or combinations thereof.
Eligible Population	At discretion of program sponsor.
Time and Days of Service	Group trips must begin and end on the same day.
Fare (Cost to Customer)	At discretion of program sponsor.
Other	Programs can impose mileage limitations to control program costs.

<b>Volunteer Driver Service Guidelines</b>	
Service Description	<p>Volunteer driver services are pre-scheduled, door-through-door services that are typically not accessible. These programs rely on volunteers to drive eligible consumers for critical trip needs, such as medical trips. Programs may use staff to complete intake or fill gaps. This service meets a key mobility gap by serving more vulnerable populations and should complement existing primary services (i.e. ADA-mandated, City-based Door-to-Door, or Taxi).</p> <p>Volunteer driver programs may also have an escort component where volunteers accompany consumers on any service eligible for paratransit funding, when they are unable to travel in a private vehicle.</p>
Eligible Population	At discretion of program sponsor.
Time and Days of Service	At discretion of program sponsor.
Fare (Cost to Customer)	At discretion of program sponsor.
Other	Program sponsors can use funds for administrative purposes and/or to pay for volunteer mileage reimbursement purposes (not to exceed Federal General Services Administration (Privately Owned Vehicle) Mileage Reimbursement Rates) or an equivalent financial incentive for volunteers.

<b>Mobility Management and/or Travel Training Service Guidelines</b>	
Service Description	<p>Mobility management services cover a wide range of activities, such as travel training, escorted companion services, coordinated services, trip planning, and brokerage. Mobility management activities often include education and outreach which play an important role in ensuring that people use the "right" service for each trip, e.g. using EBP from Fremont to Berkeley for an event, using a taxi voucher for a same-day semi-emergency doctor visit, and requesting help from a group trips service for grocery shopping.</p>
Eligible Population	At discretion of program sponsor.

Mobility Management and/or Travel Training Service Guidelines	
Time and Days of Service	At discretion of program sponsor.
Fare (Cost to Customer)	N/A
Other	For new mobility management and/or travel training programs, to ensure effective program design, a plan with a well-defined set of activities must be submitted to Alameda CTC staff for review prior to implementation.

Scholarship/Subsidized Fare Program Guidelines	
Service Description	Scholarship or Subsidized Fare Programs can subsidize any service eligible for paratransit funding and/or fixed-route transit for customers who are low-income and can demonstrate financial need.
Eligible Population	<p>Subsidies can be offered to low-income consumers with demonstrated financial need who are currently eligible for an Alameda County ADA-mandated or city-based paratransit program.</p> <p>Low income requirements are at discretion of program sponsors, but the requirement for household income should not exceed 50% AMI (area median income).</p>
Time and Days of Service	N/A
Fare (Cost to Customer)	N/A
Other	<p>Low-income requirements and the means to determine and verify eligibility must be submitted to Alameda CTC staff for review prior to implementation.</p> <p>If program sponsors include subsidized East Bay Paratransit (EBP) tickets in this program, no more than 3% of a program sponsor's Alameda CTC distributed funding may be used for the ticket subsidy.</p> <p>Other services or purposes proposed for scholarship and/or fare subsidy must be submitted to Alameda CTC staff for review prior to implementation.</p>

<b>Meal Delivery Funding Guidelines</b>	
Service Description	Meal Delivery Funding programs provide funding to programs that deliver meals to the homes of individuals who are generally too frail to travel outside to congregate meal sites. Although this provides access to life sustaining needs for seniors and people with disabilities, it is not a direct transportation expense.
Eligible Population	For currently operating programs, at discretion of program sponsor.
Time and Days of Service	For currently operating programs, at discretion of program sponsor.
Fare (Cost to Customer)	For currently operating programs, at discretion of program sponsor.
Other	Currently operating funding programs may continue, but new meal delivery funding programs may not be established.

<b>Capital Expenditures Guidelines</b>	
Description	Capital expenditures are eligible if directly related to the implementation of a program or project within an eligible service category, including but not limited to, purchase of scheduling software, accessible vehicles and equipment and accessibility improvements at shuttle stops.
Eligible Population	N/A
Time and Days of Service	N/A
Fare (Cost to Customer)	N/A
Other	Capital expenditures are to support the eligible service types included in the Implementation Guidelines and must be consistent with objectives of the Alameda CTC Special Transportation for Seniors and Peoples with Disabilities (Paratransit) Program. Planned expenditures are subject to review by Alameda CTC staff prior to implementation.

<b>Hospital Discharge Transportation Service (HDTs)/ Wheelchair Scooter Breakdown Transportation Service (WSBTS)</b>	
Service Description	These are specialized Countywide services providing accessible, door-to-door trips on a same-day basis in case of hospital discharge or mobility device breakdown. These services are overseen by the Alameda CTC.
Eligible Population	At discretion of Alameda CTC. Targeted towards seniors and people with disabilities without other transportation options who need trips on a same-day basis in case of hospital discharge or mobility device breakdown.
Time & Days of Service	At discretion of Alameda CTC.
Fare (Cost to Customer)	No cost to consumer.

## **Implementation Guidelines and Performance Measures – Special Transportation for Seniors and People with Disabilities Program**

### **Performance Measures**

The Alameda CTC collects performance data from all programs funded with Alameda County Measure B (2000), Measure BB (2014) and Vehicle Registration Fee (VRF, 2010) revenues. All programs funded partially or in their entirety through these sources must at a minimum report annually through the Annual Compliance Report for Direct Local Distribution (DLD) funding on the performance measures identified within the Implementation Guidelines for each DLD program.

The performance measures for the Measure B and Measure BB Direct Local Distribution (DLD) funding distributed through the Special Transportation for Seniors and People with Disabilities (Paratransit) Program, which funds ADA-mandated paratransit services, city-based non-mandated paratransit programs and discretionary grant-funded projects, are identified below. Additional performance-related data may be required through separate discretionary grant guidelines or to report to the Alameda CTC's Commission or one of its community advisory committees.

ADA-mandated Paratransit
<ul style="list-style-type: none"> <li>• Number of one-way trips provided</li> <li>• Total Measure B/BB cost per one-way trip (<i>Total Measure B/BB program cost during period divided by the number of one-way trips provided during period.</i>)</li> </ul>

City-based Door-to-Door Service
<ul style="list-style-type: none"> <li>• Number of one-way trips provided</li> <li>• Total Measure B/BB cost per one-way trip (<i>Total Measure B/BB program cost during period divided by the number of one-way trips provided during period.</i>)</li> </ul>

### **Taxi Subsidy Program**

- Number of one-way trips provided
- Total Measure B/BB cost per one-way trip *(Total Measure B/BB program cost during period divided by the number of one-way trips provided during period.)*

### **City-based Specialized Accessible Van Service**

- Number of one-way trips provided
- Total Measure B/BB cost per one-way trip *(Total Measure B/BB program cost during period divided by the number of one-way trips provided during period.)*

### **Accessible Shuttle Service**

- Total ridership *(One-way passenger boardings)*
- Total Measure B/BB cost per one-way passenger trip *(Total Measure B/BB program cost during period divided by the total ridership during period.)*

### **Group Trips Service**

- Number of one-way passenger trips provided
- Total Measure B/BB cost per passenger trip *(Total Measure B/BB program cost during period divided by the number of passenger trips provided during period.)*

### **Volunteer Driver Service**

- Number of one-way trips provided
- Total Measure B/BB cost per one-way trip *(Total Measure B/BB program cost during period divided by the number of one-way trips provided during period.)*

### **Mobility Management Service**

- Number of contacts provided with mobility management support
- Total Measure B/BB cost per individual provided with mobility management support *(Total Measure B/BB program cost during period divided by the number of individuals provided with support during period.)*



Travel Training Service
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| <ul style="list-style-type: none"><li>• Number of individuals trained</li><li>• Total Measure B/BB cost per individual trained (<i>Total Measure B/BB program cost during period divided by the number of individuals trained during period</i>)</li></ul> |
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Scholarship/Subsidized Fare Program
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| <ul style="list-style-type: none"><li>• Number of unduplicated individuals who received scholarship/subsidized fares</li><li>• Number of one-way fares/tickets subsidized</li><li>• Total Measure B/BB cost per subsidy (<i>Total Measure B/BB program cost during period divided by the number of subsidized fares/tickets during period</i>)</li></ul> |
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Meal Delivery Funding
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| <ul style="list-style-type: none"><li>• Number of meal delivery trips</li><li>• Total Measure B/BB cost per meal delivery trip (<i>Total Measure B/BB program cost during period divided by the number of meal delivery trips during period</i>)</li></ul> |
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# Memorandum

5.2

1111 Broadway, Suite 800, Oakland, CA 94607

PH: (510) 208-7400

www.AlamedaCTC.org

**DATE:** February 1, 2016

**SUBJECT:** 2016 State Transportation Improvement Program :  
Revised Regional Transportation Improvement Program

**RECOMMENDATION:** Approve the Revised 2016 Regional Transportation Improvement Program (RTIP) for Alameda County based on the Revised Fund Estimate approved by the California Transportation Commission (CTC)

## Summary

The State Transportation Improvement Program (STIP) is a multi-year capital improvement program of transportation projects on and off the State Highway System, funded with revenues from the State Highway Account and other funding sources administered by the California Transportation Commission (CTC). The Price-Based Excise Tax serves as the primary revenue source for the STIP.

The overall process for the development of the STIP begins with the development of the STIP Fund Estimate. The STIP Fund Estimate serves as the basis for determining the county shares for the STIP and the amounts available for programming each fiscal year during the five-year STIP period. Typically, any new STIP programming capacity is made available in the last two years of the five year STIP period. The 2016 STIP covers fiscal years 2016/2017 -2020/21.

At the January 2016 meeting, the CTC amended the 2016 STIP Fund Estimate with a lower Price- Based Excise Tax Rate (Attachment A), resulting in a decreased statewide STIP capacity of approximately \$801 million over the fund estimate period. The Metropolitan Transportation Commission (MTC) Bay Region share of this reduction amounts to \$96 million (Attachment B). MTC is now requesting Bay Area Congestion Management Agencies (CMAs) to delete projects in their respective RTIPs to achieve this target.

## Background

The STIP is a multi-year capital improvement program of transportation projects on and off the State Highway System, funded with revenues from the State Highway Account and other funding sources. Senate Bill 45 (SB 45) was signed into law in 1996 and had significant impacts on the regional transportation planning and programming process. The statute delegated major funding decisions to a local level and allows the Alameda CTC to have a more active role in selecting and programming transportation projects. SB

45 changed the transportation funding structure; modified the transportation programming cycle, program components, and expenditure priorities.

The STIP is composed of two sub-elements: 75% of the STIP funds going towards the Regional Transportation Improvement Program (RTIP) and 25% going to the Interregional Transportation Improvement Program (ITIP).

The Alameda CTC adopts and forwards a program of RTIP projects to the Metropolitan Transportation Commission MTC for each STIP cycle. As the Regional Transportation Planning Agency (RTPA) for the nine-county Bay Area, MTC is responsible for developing the regional priorities for the RTIP. MTC approves the region's RTIP and submits it to the CTC for inclusion in the STIP.

The overall process for the development of the STIP begins with the development of the STIP Fund Estimate by the CTC. The STIP Fund Estimate serves as the basis for determining the county shares for the STIP and the amounts available for programming each fiscal year during the five-year STIP period. Typically, any new STIP programming capacity is made available in the last two years of the five year STIP period. The 2016 STIP covers fiscal years 2016/2017 -2020/21.

In May 2015, the CTC approved the assumptions for the 2016 STIP Fund Estimate. In August 2015, the 2016 STIP FE was adopted by the CTC which included a statewide STIP capacity of \$46 million for any new projects that would need to be included in the STIP. Revenue assumptions were based in part on the Department of Finance estimation that the Price-Based Excise Tax Rate on gasoline would increase incrementally over the fund estimate period.

On January 7, 2016, the 2016-17 Governor's Budget was released, reflecting a lower Price-Based Excise Tax Rate than the Department of Finance projected in 2015. Because the Price-Based Excise Tax is the primary revenue source for the STIP, CTC amended the 2016 STIP FE with a lower Price- Based Excise Tax Rate, resulting in a decreased statewide STIP capacity of approximately \$801 million over the fund estimate period.

The MTC Bay Region share of this reduction, based on CTC's STIP County share formula, amounts to \$96 million of which the Alameda County share is approximately \$19 million. MTC is now requesting Bay Area Congestion Management Agencies (CMAs) delete projects in their respective RTIPs to achieve this target.

Alameda CTC and other CMAs have expressed concern regarding deletion of important projects within the County. All county CMAs have a general consensus and have requested MTC to treat this as a regional issue.

There are currently approximately \$240 million projects programmed in MTC Region's RTIP. The requested reduction calls for deletion of approximately 40% of the region wide programmed amount.

1. Backfill other regional funds
2. Pro-rate 40% deletion across all counties

We can defer this decision to the CTC. It would be risky for non-highway projects on like East West Connector which may not be on the list of priorities for the CTC.

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

**Attachments:**

- A. CTC adopted Revised Fund Estimate Assumptions
- B. CTC Revised Fund Estimate Programming Targets
- C. Alameda County 2016 RTIP- Currently adopted
- D. Alameda County 2016 RTIP- Proposed Revisions

**Staff Contact:**

[James O'Brien](#), Interim Deputy Director of Programming and Allocations

[Vivek Bhat](#), Senior Transportation Engineer

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**M e m o r a n d u m****TAB 18**

**To:** CHAIR AND COMMISSIONERS  
CALIFORNIA TRANSPORTATION COMMISSION

**CTC Meeting:** January 20-21, 2016

**Reference No.:** 4.17  
Action Item

**From:** NORMA ORTEGA  
Chief Financial Officer

**Prepared by:** Steven Keck, Chief  
Division of Budgets

**Subject:** **REVISED 2016 STATE TRANSPORTATION IMPROVEMENT PROGRAM FUND  
ESTIMATE ASSUMPTION FOR THE PRICE-BASED EXCISE TAX RATE**

**RECOMMENDATION:**

The California Department of Transportation (Department) recommends that the California Transportation Commission (Commission) approve an updated Price-Based Excise Tax Rate assumption for the Amended 2016 State Transportation Improvement Program (STIP) Fund Estimate.

**ISSUE:**

Assumptions for the Amended 2016 STIP Fund Estimate provide the basis for forecasting available capacity for the 2016 STIP and the 2016 State Highway Operation and Protection Program. Revenue assumptions were based in part on the Department of Finance estimation that the Price-Based Excise Tax Rate on gasoline would increase incrementally over the fund estimate period. In May 2015, the Commission approved the assumptions for the 2016 STIP Fund Estimate. In August 2015, the 2016 STIP Fund Estimate was adopted by the Commission.

On January 7, 2016, the 2016-17 Governor's Budget was released, reflecting a lower projected 2016-17 Price-Based Excise Tax rate than was previously estimated by the Department of Finance. In response to the decreased rate, the Department worked with Commission staff to develop updated Price-Based Excise Tax Rate scenarios over the fund estimate period, including a Recommended Projection. These scenarios are detailed in the "Revised 2016 STIP Fund Estimate Assumption for the Price-Based Excise Tax Rate" attached.

Section 14525(d) of the Government Code states that the Commission may amend the Fund Estimate prior to March 1 of each even-numbered year. The Department has developed an Amended 2016 STIP Fund Estimate for adoption that incorporates the Recommended Projection. If the Commission chooses to approve an alternate Tax Rate scenario, the Department will provide an Amended Fund Estimate on the following day of the Commission meeting.

**BACKGROUND:**

On March 26, 2015, the Department presented the Draft Assumptions for the 2016 STIP Fund Estimate to Commissioners and Commission staff for their review. The Department worked with Commission staff to update and make any necessary changes to the assumptions and methodologies. The finalized assumptions were presented and approved by the Commission on May 28, 2015.

The 2016-17 Governor's Budget reflects a lower Price-Based Excise Tax Rate than the Department of Finance projected in 2015. Because the Price-Based Excise Tax is the primary revenue source for the STIP, lower rates have been incorporated into the updated Price-Based Excise Tax Rate scenarios, which will result in decreased STIP capacity over the fund estimate period.

Attachment





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# **REVISED 2016 STIP FUND ESTIMATE ASSUMPTION FOR THE PRICE-BASED EXCISE TAX RATE**

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PREPARED BY  
THE DEPARTMENT OF TRANSPORTATION  
DIVISION OF BUDGETS

# UPDATE TO THE FINAL ASSUMPTIONS

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The Department has worked with Commission staff to update the 2016 STIP Fund Estimate (FE) Assumptions in order to reflect a decrease in the Price-Based Excise Tax Rate over the fund estimate period. The original Adopted 2016 STIP FE, and updated Rate scenarios, are explained in detail below:

**Adopted 2016 STIP Fund Estimate Rates:** Assumed a price-based excise tax rate on gasoline for 2016-17 of 14.1 cents per gallon, increasing to 18 cents prior the end of the FE period. This scenario utilized the 2015-16 Governor's Budget and February 2015 Department of Finance (DOF) projections, but assumed a higher Price-Based Excise Tax Rate on gasoline in the last two years of the FE period. This scenario incorporated annual growth rates on weight fee revenues and static gasoline and diesel fuel consumption. See the table titled "Adopted 2016 STIP Fund Estimate" on Page 3.

## UPDATED SCENARIOS

*Each of the following scenarios assume that all elements of the above approved assumption remain unchanged with the exception of price-based excise tax rates.*

**A - Recommended Projection:** The Department has worked with Commission staff to develop a Rate scenario that mirrors the assumption that Price-Based Excise Tax Rates reach 18 cents prior to the end of the FE period, while reflecting lower rates in early years when compared to the original scenario. The linear approach to fiscal year Rate adjustments reflect the adopted assumption of an incremental increase in each year of the FE. Rates based on the Recommended Projection represent a middle-ground between other scenarios, and are projected to reduce STIP revenue by approximately \$801 million, and total revenue by approximately \$1 billion, when compared to the original scenario. See the table titled "A - Recommended Projection" on Page 3.

**B - Adopted STIP Fund Estimate Indexed to 2016-17 Rate Projection:** By adjusting the 2016-17 rate to reflect the updated DOF projection (rounded to the nearest cent) of 10 cents, rates for the remaining years of the FE period were reduced by 4.1 cents. This represents the most dramatic change in rates, and is projected to reduce STIP revenue by approximately \$1.3 billion, and total revenue by approximately \$1.6 billion, when compared to the original scenario. See the table titled "B - Adopted STIP Fund Estimate Indexed to Updated 2016-17 Rate Projection" on Page 3.

**C - Department of Finance Projection (as of December 2015):** In advance of the 2016 Board of Equalization meeting to set the 2016-17 price-based excise tax rate, the DOF released rate projections covering the FE period. This scenario represents the most conservative change in rates, and is projected to reduce STIP revenue by approximately \$198 million, and total revenue by approximately \$252 million, when compared to the original scenario. See the table titled "C - Department of Finance Rate Projection" on Page 3.

**D - Projection Based on EIA Publication:** The Energy Information Administration (EIA) produces the official energy statistics from the U.S. Government. The *Energy Outlook 2015* publication projects average national gasoline prices at the pump, including applicable taxes, through 2040. The Reference scenario includes a modest increase in crude oil prices, which

factors into a marginal increase in gasoline prices over the FE period. Average annual national prices were adjusted to California, based on a four-year historical comparison. Certain taxes were removed to reflect the methodology used to calculate the equivalent price-based excise tax rate for each fiscal year over the FE period. Rates based on the EIA *Energy Outlook 2015* are projected to reduce STIP revenue by approximately \$849 million, and total revenue by approximately \$1.1 billion, when compared to the original scenario. See the table titled “D - Projection Based on EIA Publication” below.

#### Adopted STIP Fund Estimate

<b>Price-Based Excise Tax Rate</b>	<b>\$0.141</b>	<b>\$0.159</b>	<b>\$0.169</b>	<b>\$0.180</b>	<b>\$0.180</b>	
<b>Revenues (\$ in millions)</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>	<b>2019-20</b>	<b>2020-21</b>	<b>Total</b>
Price-Based Excise Tax on Gas (Non-STIP)	\$1,181	\$1,250	\$1,306	\$1,337	\$1,358	<b>\$6,432</b>
Price-Based Excise Tax on Gas (STIP)	\$403	\$495	\$537	\$599	\$589	<b>\$2,623</b>

#### A - Recommended Projection

<b>Price-Based Excise Tax Rate</b>	<b>\$0.100*</b>	<b>\$0.120</b>	<b>\$0.140</b>	<b>\$0.160</b>	<b>\$0.180</b>	
<b>Revenues (\$ in millions)</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>	<b>2019-20</b>	<b>2020-21</b>	<b>Total</b>
Price-Based Excise Tax on Gas (Non-STIP)	\$1,111	\$1,184	\$1,257	\$1,303	\$1,358	<b>\$6,214</b>
Price-Based Excise Tax on Gas (STIP)	\$149	\$253	\$357	\$474	\$589	<b>\$1,822</b>

#### B - Adopted STIP Fund Estimate Indexed to Updated 2016-17 Rate Projection

<b>Price-Based Excise Tax Rate</b>	<b>\$0.100*</b>	<b>\$0.118</b>	<b>\$0.128</b>	<b>\$0.139</b>	<b>\$0.139</b>	
<b>Revenues (\$ in millions)</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>	<b>2019-20</b>	<b>2020-21</b>	<b>Total</b>
Price-Based Excise Tax on Gas (Non-STIP)	\$1,111	\$1,181	\$1,237	\$1,268	\$1,289	<b>\$6,086</b>
Price-Based Excise Tax on Gas (STIP)	\$149	\$241	\$283	\$345	\$335	<b>\$1,352</b>

#### C - Department of Finance Projection (as of December 2015)

<b>Price-Based Excise Tax Rate</b>	<b>\$0.100*</b>	<b>\$0.170</b>	<b>\$0.164</b>	<b>\$0.177</b>	<b>\$0.186</b>	
<b>Revenues (\$ in millions)</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>	<b>2019-20</b>	<b>2020-21</b>	<b>Total</b>
Price-Based Excise Tax on Gas (Non-STIP)	\$1,111	\$1,269	\$1,298	\$1,332	\$1,368	<b>\$6,378</b>
Price-Based Excise Tax on Gas (STIP)	\$149	\$563	\$506	\$581	\$626	<b>\$2,425</b>

#### D - Projection Based on EIA Publication

<b>Price-Based Excise Tax Rate</b>	<b>\$0.100*</b>	<b>\$0.147</b>	<b>\$0.147</b>	<b>\$0.148</b>	<b>\$0.150</b>	
<b>Revenues (\$ in millions)</b>	<b>2016-17</b>	<b>2017-18</b>	<b>2018-19</b>	<b>2019-20</b>	<b>2020-21</b>	<b>Total</b>
Price-Based Excise Tax on Gas (Non-STIP)	\$1,111	\$1,230	\$1,269	\$1,283	\$1,307	<b>\$6,201</b>
Price-Based Excise Tax on Gas (STIP)	\$149	\$420	\$401	\$401	\$403	<b>\$1,774</b>

\*Rate Based on Department of Finance Projection (rounded to nearest cent)

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# REVISED 2016 STIP FUND ESTIMATE

## Calculation of Programming Targets

(\$1,000's)

County		
Alameda	3.46153%	-19,565
Alpine	0.10287%	-581
Amador	0.23362%	-1,320
Butte	0.69068%	-3,904
Calaveras	0.27831%	-1,573
Colusa	0.18487%	-1,045
Contra Costa	2.36889%	-13,389
Del Norte	0.17261%	-976
El Dorado LTC	0.48442%	-2,738
Fresno	2.60703%	-14,735
Glenn	0.19363%	-1,094
Humboldt	0.69597%	-3,934
Imperial	1.22915%	-6,947
Inyo	0.95664%	-5,407
Kern	3.51423%	-19,863
Kings	0.51569%	-2,915
Lake	0.30234%	-1,709
Lassen	0.44252%	-2,501
Los Angeles	20.93443%	-118,325
Madera	0.47975%	-2,712
Marin	0.64742%	-3,659
Mariposa	0.18094%	-1,023
Mendocino	0.64993%	-3,674
Merced	0.85589%	-4,838
Modoc	0.23612%	-1,335
Mono	0.71072%	-4,017
Monterey	1.23216%	-6,964
Napa	0.42624%	-2,409
Nevada	0.36644%	-2,071
Orange	6.45388%	-36,478
Placer TPA	0.87885%	-4,967
Plumas	0.26385%	-1,491
Riverside	5.70656%	-32,254
Sacramento	3.27901%	-18,533
San Benito	0.22693%	-1,283
San Bernardino	6.56094%	-37,083
San Diego	7.33455%	-41,456
San Francisco	1.75681%	-9,930
San Joaquin	1.77716%	-10,045
San Luis Obispo	1.30867%	-7,397
San Mateo	1.78783%	-10,105
Santa Barbara	1.47372%	-8,330
Santa Clara	4.11222%	-23,243
Santa Cruz	0.70825%	-4,003
Shasta	0.75799%	-4,284
Sierra	0.12532%	-708
Siskiyou	0.51970%	-2,937
Solano	1.07293%	-6,064
Sonoma	1.31912%	-7,456
Stanislaus	1.31465%	-7,431
Sutter	0.30298%	-1,712
Tahoe RPA	0.16089%	-909
Tehama	0.38534%	-2,178
Trinity	0.27317%	-1,544
Tulare	1.62384%	-9,178
Tuolumne	0.30193%	-1,707
Ventura	2.19267%	-12,393
Yolo	0.63327%	-3,579
Yuba	0.23192%	-1,311
<b>Statewide Regional</b>	<b>100.00000%</b>	<b>(565,216)</b>
<b>Interregional</b>		<b>(188,405)</b>
<b>TOTAL</b>		<b>(753,621)</b>

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2016 Regional Transportation Improvement Program (RTIP)

Alameda									
				Project Totals by Fiscal Year					
Agency	PPNO	Project	Total	Prior	16-17	17-18	18-19	19-20	20-21
Alameda CTC	81J	East-West Connector in Fremont	12,000	-	-	-	12,000	-	-
BART	2103C	Daly City BART Station Intermodal Improvements	200	-	200	-	-	-	-
BART	2010C	BART Station Modernization Program (ALA) (14S-19)	3,726	-	-	-	3,726	-	-
Caltrans	New	US-101 Marin-Sonoma Narrows Seg B2 Phase 2	2,000	-	2,000	-	-	-	-
ACTC	2179	Planning, programming, and monitoring	2,201	-	886	750	565	-	-
MTC	2100	Planning, programming, and monitoring	406	-	131	135	140	-	-
BATA/Caltrans/MTC	9051A	Improved Bike/Ped Access to SFOBB East Span	3,063	-	-	3,063	-	-	-
		<b>Total</b>	<b>23,596</b>	-	<b>3,217</b>	<b>3,948</b>	<b>16,431</b>	-	-

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# Memorandum

5.3

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

**DATE:** February 1, 2016

**SUBJECT:** Paratransit Gap Grant Program: Cycle 5 FY 2016-17 Extensions

**RECOMMENDATION:** Approve a 1-year extension to the Cycle 5 Gap Grant Program

## Summary

The 2000 Transportation Expenditure Plan (TEP) allocates 10.45 percent of net 2000 Measure B revenues to the Special Transportation for Seniors and People with Disabilities (Paratransit) Program, 1.45% of which is distributed through the Alameda CTC discretionary Gap Grant Program. The Cycle 5 Gap Grant program currently has eleven active grants totaling \$1.1 million that are proposed to be extended for FY 2016-17. The Paratransit Advisory and Planning Committee (PAPCO) provides recommendations to the Commission for items related to Paratransit funding and is scheduled to provide a funding recommendation in May 2016 for consideration by the Commission in June 2016.

## Background

The 2000 Transportation Expenditure Plan (TEP) allocates 10.45 percent of net Measure B revenues to the Paratransit program. These revenues fund operations for Americans with Disabilities Act (ADA)-mandated services and city-based paratransit programs. From this amount, 1.45% is distributed through the Alameda CTC discretionary Gap Grant program, which funds projects intended to reduce the difference in special transportation services available to individuals in different geographic areas of Alameda County.

PAPCO, an all-consumer community advisory committee, provides recommendations to the Commission for items related to Paratransit funding, including the Gap Grant program. PAPCO is supported by the Paratransit Technical Advisory Committee (ParaTAC), composed of city and transit operator staff.

## Cycle 5 Gap Grant Program

The Cycle 5 Gap Program was initially approved by the Commission in May 2013. It included a total of \$2.1 million of Gap funds for 12 projects for a two-year funding period, July 1 2013 – June 30, 2015. For FY 2015-16, Cycle 5 was extended by the Commission and project sponsors were given the opportunity to apply for a one year extension. PAPCO considered funding need, past performance, and projected growth in its evaluation of

the extension requests. The Commission-approved FY 2015-16 extension is detailed in Attachment A and included eleven projects for a total of \$1.1 million of Gap Grant funding. The FY 2015-16 extension also included \$100,000 for mid-cycle funding requests for capital purchases and grant matching.

### ***FY 2016-17 Gap Grant Extension***

For FY 2016-17, staff recommends extending Cycle 5 again for one additional year, through June 30, 2017. Following Commission approval of the FY 2016-17 extension, current grant recipients will be given an opportunity in March 2016 to reapply for a second, one-year extension. A programming recommendation will again be developed based on demonstrated funding need, past performance and projected growth. A PAPCO-recommended program of projects for the FY 2016-17 extension is scheduled to be considered by the Commission in June 2016.

The Gap Grant Cycle 5 Program Guidelines will be updated for the FY 2016-17 Cycle 5 Extension to reference the approved FY 2016-17 Paratransit Implementation Guidelines and will also include updated performance measures by program type for reporting to PAPCO, including:

- Number of one-way trips provided
- Number of registrants
- Qualitative information on outreach
- Number of active volunteer drivers
- Number of individuals/contacts provided with mobility management support
- Number of individuals receiving travel training

Although no requests have been received to date for the \$100,000 that was set aside for FY 2015-16 mid-cycle Gap Grant funding requests for capital purchases and grant matching, staff intends to recommend to PAPCO that \$100,000 of Gap Grant funding be made available for mid-cycle funding for this same purpose through the FY 2016-17 extension and with a continued maximum grant request of \$50,000.

Staff's recommendation for a second, one year extension to the Measure B Cycle 5 Gap Grant program is intended to allow the current successful gap grant-funded programs to continue during the Alameda CTC's development of the next Gap Grant cycle in coordination with the new discretionary Measure BB funding program that is 1% of net 2014 TEP revenue. Similar to the Measure B Gap Grant program, the Measure BB funds are reserved for the purposes of coordinating services across jurisdictional lines or filling gaps in the system to meet the needs of seniors and people with disabilities. In the coming year, staff will continue working with PAPCO and ParaTAC to identify new priorities and programming strategies for a coordinated Measure B and Measure BB discretionary Paratransit programming cycle for FY 2017-18.

**Next Steps**

In May, PAPCO will receive a summary and staff analysis of the FY 2016-17 extension requests and develop a funding recommendation for the Commission. Following Commission approval, the Alameda CTC will enter into project-specific funding agreements with project sponsors.

**Fiscal Impact:** There is no fiscal impact to the FY 2015-16 budget. The projects and funding approved by the Commission for the FY 2016-17 Cycle 5 Gap Grant extension will be included in the Alameda CTC's FY 2016-17 budget and adopted into the Alameda CTC's Comprehensive Investment Plan (CIP).

**Attachments**

- A. Summary of Cycle 5 FY 2015-16 Gap Grants

**Staff Contacts**

[Jacki Taylor](#), Program Analyst

[Naomi Armenta](#), Paratransit Coordinator

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## Alameda CTC FY 2015-16 Gap Grant Program

Sponsor	Project Name	Location	Description	FY 2015-16 Total Program Cost	FY 2015-16 Gap Funding
Alzheimer's Services of the East Bay (ASEB)	Special Transportation Services for Individuals with Dementia	North, Central, South County	ASEB transports individuals with cognitive impairment and memory loss to and from their homes and a safe Adult Day Health Care center. Operations include wheelchair accessible buses and specially trained drivers. Services are available Monday through Friday, 8AM-6PM.	\$420,648	\$100,000
Bay Area Outreach and Recreation Program (BORP)	Accessible Group Trip Transportation for Youth and Adults with Disabilities	Countywide	This project provides accessible group trip transportation in Alameda County for children, youth and adults with disabilities participating in sports and recreation programs.	\$185,000	\$148,000
Center for Independent Living (CIL)	Mobility Matters Project	Countywide	Mobility Matters is a consortium of senior and disability service agencies that provide travel training and mobility management services so that seniors and people with disabilities can become more engaged in their communities through the use of fixed route transit.	\$330,608	\$140,000
Emeryville	8-To-Go: A Demand Response, Door to Door Shuttle	94608 area code (Emeryville, Oakland)	A Demand Response Shuttle Service for seniors and people with disabilities living in the areas of Emeryville and Oakland within the 94608 area code with service to Berkeley and nearby important destinations beyond 94608 area.	\$93,100	\$34,000
Fremont	Tri-City Mobility Management and Travel Training Program	South County	This program provides individualized transportation planning assistance and intensive community outreach to help seniors and people with disabilities navigate and access the transportation services network to find the most appropriate and cost effective mode of travel for their specific needs. Group and individual travel training will also be provided to help consumers learn how to use public transit.	\$125,000	\$125,000

Sponsor	Project Name	Location	Description	FY 2015-16 Total Program Cost	FY 2015-16 Gap Funding
Fremont	Tri-City Volunteer Driver Programs	South County	Both the VIP Rides and Drivers for Survivors provide door-through-door assisted transportation that is designed to address a service gap that cannot be filled by ADA or city-based paratransit services, which are either curb-to-curb or door-to-door services. VIP Rides serves older adults and people with disabilities, including those using wheelchairs and other mobility devices. Drivers for Survivors serves ambulatory adults who are diagnosed with cancer.	\$277,324	\$150,000
Fremont	Tri-City Taxi Voucher Program	South County	This program provides affordable, same-day taxi transportation for seniors and people with disabilities residing in Fremont, Newark or Union City.	\$181,200	\$150,000
Oakland	Taxi-Up & Go Project	Oakland	The TU&GO Project provides elderly paratransit volunteer escort and case management and through the use of subsidized taxi-scrip services. It provides peer related transport and culturally sensitive supportive interventions for isolated and mono-lingual seniors assisted by trained Senior Companion volunteer escorts, Caregivers and community service providers.	\$92,500	\$92,500
Pleasanton	Downtown Route Shuttle (DTR)	Pleasanton, Sunol	The Downtown Route (DTR) shuttle provides affordable, same-day rides to seniors and ADA eligible Pleasanton/Sunol residents. Staff and volunteers also provide travel training; facilitate group trips, and complete outreach and transit education to the community as part of this grant.	\$51,805	\$41,894

Sponsor	Project Name	Location	Description	FY 2015-16 Total Program Cost	FY 2015-16 Gap Funding
Senior Helpline Services	Rides for Seniors	North, Central County	SHS Rides for Seniors is a free, escorted, door-through-door, 1:1 volunteer driver program, that provides transportation services via volunteer owned and insured cars to otherwise homebound, ambulatory seniors age 60+ who cannot access other forms of transportation for medical care and basic necessities. (SHS has recently changed its name to Mobility Matters.)	\$80,000	\$60,000
Senior Support Program of the Tri-Valley (SSPTV)	Volunteers Assisting Seniors with Transportation (VAST) Program	East County	This Program supplements existing public and paratransit programs by providing free, door-through-door service for seniors to their medical appointments. Volunteer drivers and staff transport at-risk seniors, enabling them to travel safely in and out of the county to critical medical care.	\$82,500	\$75,000
<b>TOTAL</b>				<b>\$1,919,685</b>	<b>\$1,116,394</b>

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# Memorandum

5.4

1111 Broadway, Suite 800, Oakland, CA 94607

PH: (510) 208-7400

www.AlamedaCTC.org

**DATE:** February 1, 2016

**SUBJECT:** Transportation Fund for Clean Air (TFCA) FY 2016-17 Expenditure Plan Application

**RECOMMENDATION:** Approve Resolution 16-002 regarding the TFCA FY 2016-17 Expenditure Plan Application

## Summary

It is recommended the Commission approve Resolution 16-002, regarding the FY 2016-17 Transportation Fund for Clean Air (TFCA) County Program Manager Fund Expenditure Plan Application and its submittal to the Bay Area Air Quality Management District (Air District). The Alameda CTC Resolution and TFCA Expenditure Plan Application are included as Attachment A. The FY 2016-17 Expenditure Plan Application identifies \$2.122 million of TFCA funding available for projects and is due to the Air District by March 3, 2016, prior to a detailed program of projects.

## Background

TFCA funding is generated by a four dollar vehicle registration fee collected by the Bay Area Air Quality Management District (Air District). Projects that result in the reduction of motor vehicle emissions are eligible for TFCA. Eligible projects are to achieve "surplus" emission reductions beyond what is currently required through regulations, ordinances, contracts, or other legally binding obligations. Projects typically funded with TFCA include shuttles, bicycle lanes and lockers, signal timing and trip reduction programs. As the TFCA County Program Manager (CPM) for Alameda County, the Alameda CTC is responsible for programming 40 percent of the four dollar vehicle registration fee that is collected in Alameda County for this program. Five percent of new revenue is set aside for the Alameda CTC's administration of the TFCA program. Per the Alameda CTC TFCA Guidelines, 70 percent of the available funds are to be allocated to the cities/county based on population, with a minimum of \$10,000 to each jurisdiction. The remaining 30 percent of funds are to be allocated to transit-related projects on a discretionary basis.

A jurisdiction may borrow against its projected future share in order to receive more funds in the current year, which can help facilitate the required annual programming of all available funds. For reference, a draft FY 2016-17 TFCA fund estimate, which reflects the funding identified in the FY 2016-17 Expenditure Plan, is included as Attachment B. Projects proposed for TFCA funding are to be consistent with the FY 2016-17 Air District TFCA County

Program Manager Policies (Attachment C) and meet program cost-effectiveness requirements.

### **FY 2016-17 Revenue**

The FY 2016-17 TFCA Expenditure Plan Application establishes the amount of TFCA funds available for programming to projects and program administration and is based on the Air District's DMV revenue estimates for the same period. Additionally, previously programmed TFCA funds from cancelled or completed projects (as detailed on the second page of the Expenditure Plan Application) are returned to the Alameda CTC's fund estimate for reprogramming. Returned funds that were initially programmed from the 70 percent cities/county portion of the fund estimate, are credited to the project sponsor's share. As summarized below, the estimated total amount of funds available for projects is the sum of the new allocation (projected revenue), returned project funds to reprogram, and earned interest, less five percent of the new allocation, which is reserved for the Alameda CTC's administration of the TFCA program.

Estimated new allocation for FY 2016-17:	\$2,044,211
Earned interest for calendar year 2015:	\$13,403
<u>Project funds to reprogram, as of 12/31/15:</u>	<u>\$167,055</u>
Total available TFCA funding:	\$2,224,669
Less 5% of new allocation for TFCA administration:	- \$102, 211
<b>Total FY 2016-17 TFCA funding for projects:</b>	<b>\$2,122,458</b>

### ***Program Development and Approval Process***

The TFCA Expenditure Plan Application is to be signed by the Executive Director and is due to the Air District by March 3, 2016. Updated TFCA program guidelines, including the attached Air District FY 2016-17 TFCA Policies, will be incorporated into the Alameda County Comprehensive Investment Plan (CIP), along with the total funding available. The individual projects and programs to be funded by FY 2016-17 TFCA funds will be determined by an independent project/program selection process scheduled to begin in the May/June time frame. The initial list of candidate projects and programs will be drawn from existing information available to the Alameda CTC. Additional information will be solicited during the selection process to support the TFCA cost-effectiveness evaluation and determine the recommended final list of projects and programs for the FY 2016-17 TFCA Program. A program recommendation is scheduled for September 2016 and the final, Commission-approved, program of eligible projects is due to the Air District by November 7, 2016.

**Fiscal Impact:** This recommended action has no significant fiscal impact. TFCA funding is made available by the Air District and will be included in the Alameda CTC's FY 2016-17 budget.

**Attachments**

- A. Alameda CTC Resolution 16-002 and FY 2016-17 TFCA Expenditure Plan Application
- B. Alameda CTC Draft FY 2016-17 TFCA Fund Estimate
- C. Air District FY 2016-17 TFCA County Program Manager Policies

**Staff Contacts**

[James O'Brien](#), Interim Deputy Director of Programming and Projects

[Jacki Taylor](#), Program Analyst

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## ALAMEDA COUNTY TRANSPORTATION COMMISSION

### RESOLUTION 16-002

**Commission Chair**

Vice Mayor Rebecca Kaplan,  
City of Oakland

**Commission Vice Chair**

Mayor Bill Harrison,  
City of Fremont

**AC Transit**

Director Elsa Ortiz

**Alameda County**

Supervisor Scott Haggerty, District 1  
Supervisor Richard Valle, District 2  
Supervisor Wilma Chan, District 3  
Supervisor Nate Miley, District 4  
Supervisor Keith Carson, District 5

**BART**

Director Rebecca Saltzman

**City of Alameda**

Mayor Trish Spencer

**City of Albany**

Mayor Peter Maass

**City of Berkeley**

Councilmember Laurie Capitelli

**City of Dublin**

Mayor David Haubert

**City of Emeryville**

Councilmember Ruth Atkin

**City of Hayward**

Mayor Barbara Halliday

**City of Livermore**

Mayor John Marchand

**City of Newark**

Councilmember Luis Freitas

**City of Oakland**

Councilmember Dan Kalb

**City of Piedmont**

Mayor Margaret Fujioka

**City of Pleasanton**

Mayor Jerry Thorne

**City of San Leandro**

Mayor Pauline Cutter

**City of Union City**

Mayor Carol Dufr-Vernaci

**Executive Director**

Arthur L. Dao

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

**WHEREAS**, the TFCA Program requires the Program Manager to submit an Expenditure Plan Application for FY 2016/17 TFCA funding to the Bay Area Air Quality Management District ("Air District") by March 3, 2016.

**NOW, THEREFORE BE IT RESOLVED**, that the Alameda CTC Commission will program an estimated \$2,122,458 to projects, consistent with the attached [FY 2016/17 TFCA County Program Manager Fund Expenditure Plan Application](#); and

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

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

**DULY PASSED AND ADOPTED** by the Alameda CTC at the regular Commission meeting held on Thursday, February 25, 2016 in Oakland, California, by the following vote:

**AYES:**

**NOES:**

**ABSTAIN:**

**ABSENT:**

**SIGNED:**

**ATTEST:**

\_\_\_\_\_  
Rebecca Kaplan  
Chair, Alameda CTC

\_\_\_\_\_  
Vanessa Lee  
Clerk of the Commission

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## Alameda CTC TFCA County Program Manager Fund: FY 2016-17 Draft Fund Estimate

Agency	Population (Estimate <sup>1</sup> )	% Population	Total % of Funding	TFCA Funds Available (new this FY)	Balance from Previous FY	Programmed Last Cycle	Returned Funds from Closed Projects	Rollover (Debits/ Credits)	TFCA Balance (New + Rollover)
Alameda	76,638	4.81%	4.80%	\$ 65,719	\$ (236,616)	\$ 10,143	\$ -	\$ (246,759)	\$ (181,040)
Alameda County	146,787	9.21%	9.20%	\$ 125,873	\$ 338,915	\$ 125,416	\$ 25,000	\$ 238,498	\$ 364,371
Albany	18,565	1.16%	1.16%	\$ 15,920	\$ 16,896	\$ 97,466	\$ -	\$ (80,570)	\$ (64,650)
Berkeley	118,780	7.45%	7.44%	\$ 101,856	\$ 45,503	\$ 152,667	\$ 101,908	\$ (5,256)	\$ 96,600
Dublin	55,844	3.50%	3.50%	\$ 47,887	\$ 195,249	\$ 153,488	\$ -	\$ 41,761	\$ 89,649
Emeryville	10,570	0.66%	0.73%	\$ 10,000	\$ 59,075	\$ 1,400	\$ -	\$ 57,675	\$ 67,675
Fremont	226,551	14.21%	14.19%	\$ 194,272	\$ 377,307	\$ 29,896	\$ -	\$ 347,411	\$ 541,683
Hayward	152,889	9.59%	9.58%	\$ 131,105	\$ (391,970)	\$ 20,161	\$ 36,363	\$ (375,767)	\$ (244,662)
Livermore	85,990	5.39%	5.39%	\$ 73,738	\$ 527,474	\$ 11,326	\$ -	\$ 516,148	\$ 589,886
Newark	44,204	2.77%	2.77%	\$ 37,906	\$ 342,539	\$ 5,854	\$ -	\$ 336,685	\$ 374,591
Oakland	410,603	25.75%	25.72%	\$ 352,101	\$ 56,804	\$ 387,974	\$ 2,302	\$ (328,868)	\$ 23,233
Piedmont	11,113	0.70%	0.73%	\$ 10,000	\$ 76,409	\$ 1,471	\$ -	\$ 74,938	\$ 84,938
Pleasanton	74,850	4.69%	4.69%	\$ 64,185	\$ 43,631	\$ 62,753	\$ -	\$ (19,122)	\$ 45,063
San Leandro	88,441	5.55%	5.54%	\$ 75,840	\$ 269,228	\$ 61,705	\$ -	\$ 207,522	\$ 283,362
Union City	72,744	4.56%	4.56%	\$ 62,379	\$ 342,282	\$ 45,631	\$ -	\$ 296,651	\$ 359,030
<b>TOTAL 70% Cities/County:</b>	<b>1,594,569</b>	<b>100%</b>	<b>100%</b>	<b>\$ 1,368,782</b>	<b>\$ 2,062,726</b>	<b>\$ 1,167,352</b>	<b>\$ 165,573</b>	<b>\$ 1,060,947</b>	<b>\$ 2,429,729</b>

FY 2016-17 TFCA New Revenue	\$ 2,044,211	(From FY 2016-17 Expenditure Plan)
Less 5% for Program Administration	\$ (102,211)	
Subtotal New Programming Capacity	\$ 1,942,000	
Calendar Year 2015 Interest Earned	\$ 13,403	
Total New Programming Capacity	\$ 1,955,403	

	Totals	Cities/County (Shares) 70%	Transit (Discretionary) 30%
Total New Programming Capacity	\$ 1,955,403	\$ 1,368,782	\$ 586,621
Returned Funds from Closed Projects	\$ 167,055	\$ 165,573	\$ 1,482
FY 2015-16 Rollover (debit/credit) Adjustment	\$ -	\$ 895,374	\$ (895,374)
<b>Total Returned Funds &amp; Rollover Adjustments<sup>2</sup></b>	<b>\$ 167,055</b>	<b>\$ 1,060,947</b>	<b>\$ (893,892)</b>
<b>Adjusted Total Available to Program</b>	<b>\$ 2,122,458</b>	<b>\$ 2,429,729</b>	<b>\$ (307,271)</b>

## Notes:

1. Dept. of Finance ([www.dof.ca.gov](http://www.dof.ca.gov)) population estimates as of 1/01/2015 (released May 2015).
2. Includes TFCA programming actions and returned funds from closed projects as of 12/31/15.

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BAY AREA  
AIR QUALITY  
MANAGEMENT  
DISTRICT

## County Program Manager Fund Expenditure Plan Guidance For Fiscal Year Ending 2017

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### Transportation Fund for Clean Air



Bay Area Air Quality Management District

939 Ellis Street, San Francisco, CA 94109

December 7, 2015

## TABLE OF CONTENTS

Changes from Fiscal Year Ending (FYE) 2016 to FYE 2017 .....	2
Reporting Schedule for FYE 2017 .....	2
Transportation Fund for Clean Air (TFCA) .....	3
Introduction .....	3
The TFCA Program.....	3
Eligible TFCA Project Types .....	4
TFCA County Program Manager Fund.....	5
Roles and Responsibilities .....	5
Attributes of Cost-Effective Projects .....	6
Attributes of Project Readiness .....	6
Program Schedule .....	7
Expenditure Plan Application Process .....	8
Programming of Funds .....	8
Project Information and Reporting Forms .....	8
Additional Information.....	10
Appendix A: Guidelines for Eligible TFCA Reimbursable Costs .....	11
Appendix B: Sample Expenditure Plan Application .....	13
Appendix C: Funding Status Report Form .....	15
Appendix D: Board-Adopted TFCA County Program Manager Fund Policies for FYE 2017.....	16
Appendix E: Glossary of Terms .....	24
Appendix F: Insurance Guidelines .....	25
Appendix G: Sample Project Information Form .....	27
Appendix H: Instructions for Cost-effectiveness Worksheets .....	28

## *Changes from Fiscal Year Ending (FYE) 2016 to FYE 2017*

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Based on feedback and comments received during the public comment period, the following changes have been made:

- Streamlined and improved wording to clarify and to ensure adherence to state statute;
- Revised policy language related to shuttle projects to align it with the Board-adopted FYE 2016 TFCA Regional Fund Policies;
- Removed Annual Daily Traffic (ADT) and Peak Hour Traffic requirements for arterial management projects;
- Increased the cost-effectiveness limit for alternative fuel vehicle and infrastructure, smart growth, shuttle, arterial management, and bicycle facility projects to align it with the Board-adopted FYE 2016 TFCA Regional Fund Policies;
- Clarified that TFCA County Program Manager Funds may not be combined with TFCA Regional Funds unless the project scope is broadened; and
- Added language about enforcing the two-year time limit for completing bicycle projects.

## *Reporting Schedule for FYE 2017*

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The following is the schedule of items that must be submitted by the County Program Manager to the Air District:

- ☐ **March 3, 2016 - Expenditure Plan application for FYE 2017** - The application must include:
  - Summary Information Form, signed and dated by County Program Manager's Executive Director
  - Summary Information Addendum Form (if applicable)
  
- ☐ **Within 6 months of Air District Board of Director's approval of allocation, and within 3 months for projects that do not conform to all TFCA Policies:**

For each project:

  - Project Information Form (sample can be found in Appendix G)
  - Cost-effectiveness Worksheet (instructions can found in Appendix H)
  
- ☐ **Every May 31** (See Page 9)
  - **Funding Status Report Form** – Include all open projects and projects closed since July 1.
  - **Final Report Form** – For projects closed July 1-December 31 (and optionally those closing later), submit both a Final Report Form and a final Cost-effectiveness Worksheet.

- ☐ **Every October 31** (See Page 9)

- **Interim Project Report Form** – Submit this form for every open project.
- **Funding Status Report Form** – Include all open projects and projects closed since January 1.
- **Final Report Form** – For projects closed January 1-June 30 (and optionally those closing later), submit both a Final Report Form and a final Cost-effectiveness Worksheet.

*Note:* Items due on dates that fall on weekends or on State/Federal holidays are due on the next following business day.

## *Transportation Fund for Clean Air (TFCA)*

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### **Introduction**

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On-road motor vehicles, including cars, trucks, and buses, constitute the most significant source of air pollution in the Bay Area. Vehicle emissions represent the largest contributor to unhealthy levels of ozone (summertime "smog") and particulate matter.

To protect public health, the State Legislature enacted the California Clean Air Act in 1988. Pursuant to this law, the Bay Area Air Quality Management District (Air District) has adopted the [\*2010 Clean Air Plan \(CAP\)\*](#), which describes how the region will work toward compliance with State and Federal ambient air quality standards and make progress on climate protection. To reduce emissions from motor vehicles, the *2010 CAP* includes transportation control measures (TCMs) and mobile source measures (MSMs). A TCM is defined as “any strategy to reduce vehicle trips, vehicle use, vehicle miles traveled, vehicle idling, or traffic congestion for the purpose of reducing motor vehicle emissions.” MSMs encourage the retirement of older, more polluting vehicles and the introduction of newer, less polluting motor vehicle technologies.

### **The TFCA Program**

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To fund the implementation of TCMs and MSMs, the State Legislature authorized the Air District to impose a \$4 surcharge on motor vehicle registration fees paid within the nine-county Bay Area. These revenues are allocated by the Air District through the Transportation Fund for Clean Air (TFCA). TFCA grants are awarded to public and private entities to implement eligible projects.

TFCA-funded projects have many benefits, including the following:

- ✓ Reducing air pollution, including air toxics such as benzene and diesel particulates
- ✓ Conserving energy and helping to reduce greenhouse gas emissions
- ✓ Improving water quality by decreasing contaminated runoff from roadways
- ✓ Improving transportation options
- ✓ Reducing traffic congestion

Forty percent (40%) of these funds are allocated to a designated county program manager within each of the nine counties within the Air District’s jurisdiction. This allocation is referred to as the

TFCA County Program Manager Fund. The remaining sixty percent (60%) of these funds are directed to Air District-sponsored programs and to Air District-administered TFCA Regional Fund.

This document provides guidance on the expenditure of the 40% of TFCA funding provided to the County Program Managers.

### **Eligible TFCA Project Types**

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TFCA legislation requires that projects meet eligibility requirements, as described in the California Health and Safety Code (HSC) Section 44241. The following is a complete list of mobile source and transportation control project types authorized under the California HSC Section 44241(b):

1. The implementation of ridesharing programs;
2. The purchase or lease of clean fuel buses for school districts and transit operators;
3. The provision of local feeder bus or shuttle service to rail and ferry stations and to airports;
4. Implementation and maintenance of local arterial traffic management, including, but not limited to, signal timing, transit signal preemption, bus stop relocation and "smart streets;"
5. Implementation of rail-bus integration and regional transit information systems;
6. Implementation of demonstration projects in telecommuting and in congestion pricing of highways, bridges, and public transit;
7. Implementation of vehicle-based projects to reduce mobile source emissions, including, but not limited to, engine repowers, engine retrofits, fleet modernization, alternative fuels, and advanced technology demonstrations;
8. Implementation of a smoking vehicles program;
9. Implementation of an automobile buy-back scrappage program operated by a governmental agency;
10. Implementation of bicycle facility improvement projects that are included in an adopted countywide bicycle plan or congestion management program; and
11. The design and construction by local public agencies of physical improvements that support development projects that achieve motor vehicle emission reductions. The projects and the physical improvements shall be identified in an approved area-specific plan, redevelopment plan, general plan, or other similar plan.

#### ***TFCA funds may not be used for:***

- *Planning activities that are not directly related to the implementation of a specific project;*  
*or*
- *The purchase of personal computing equipment for an individual's home use.*

## *TFCA County Program Manager Fund*

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### **Roles and Responsibilities**

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**County Program Manager**—Each County Program Manager is required to:

1. Administer funding in accordance with applicable legislation, including HSC Sections 44233, 44241, and 44242, and with Air District Board-Adopted TFCA County Program Manager Fund Policies for FYE 2017 (found in Appendix D).
2. Hold one or more public meetings each year
  - a. to adopt criteria for the expenditure of the funds if those criteria have been modified in any way from the previous year (criteria must include the Air District Board-Approved TFCA County Program Manager Fund Policies)<sup>1</sup>, and
  - b. to review the expenditure of revenues received.
3. Prepare and submit Expenditure Plan Applications, Project Information Forms, Cost-effectiveness Worksheets, Funding Status Reports, Interim Project Reports, and Final Reports.
4. Provide funds only to projects that comply with the Air District Board-Approved Policies and/or have received Air District Board of Director's approval for award.
5. Encumber and expend funds within two years of the receipt of funds, unless an application for funds states that the project will take a longer period of time to implement and an extension is approved by the Air District or the County Program Manager, or unless the time is subsequently extended if the recipient requests an extension and the County Program Manager finds that significant progress has been made on the project.
6. Limit administrative costs in handling of TFCA funds to no more than five (5) percent of the funds received.
7. Allocate (program) all new TFCA funds within six months of the date of the Air District Board of Director's approval of the Expenditure Plan.
8. Provide information to the Air District and to auditors on the expenditures of TFCA funds.

**Air District**—The Air District is required to:

1. Hold a public hearing to:
  - a. Adopt cost-effectiveness criteria that projects and programs are required to meet. Criteria shall maximize emission reductions and public health benefits; and
  - b. Allocate County Program share of DMV fee revenues.
2. Provide guidance, offer technical support, and hold workshops on program requirements, including cost-effectiveness.
3. Review Expenditure Plan Applications, Cost-effectiveness Worksheets, Project Information Forms, Funding Status Reports, Interim Project Reports and Final Reports.
4. Re-distribute unallocated TFCA funds from the County Program Manager Fund.
5. Limit TFCA administrative costs to a maximum of five percent (5%).

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<sup>1</sup> California Senate Bill 491. *Transportation: omnibus bill*. Retrieved from <https://leginfo.legislature.ca.gov/>. Approved by Governor on October 2, 2015.

6. Conduct audits of TFCA programs and projects.
7. Hold a public hearing in the case of any misappropriation of revenue.

### **Attributes of Cost-Effective Projects**

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- √ Project purchases or provides service using best available technology or cleanest vehicle (e.g., achieves significant petroleum reduction, utilizes vehicles that have 2010 and newer engines, is not a Family Emission Limit (FEL) engine, and/or have zero tailpipe emissions).
- √ Project is delivered or placed into service within one year and/or significantly in advance of regulatory changes (e.g., lower engine emission standards).
- √ Project requests relatively low amount of TFCA funds; Grantee provides significant matching funds.
- √ The following are additional attributes of cost-effective projects for specific project categories:
  - For vehicle trip reduction projects (e.g., bike facilities, shuttle/feeder bus service, ridesharing):
    - Project serves relatively large % of riders/participants that otherwise would have driven alone over a long distance.
    - Project provides “first and last mile” connection between employers and transit.
    - Service operates on a route (service and non-service miles) that is relatively short in distance.
  - For vehicle-based projects:
    - Vehicle has high operational use, annual mileage, and/or fuel consumption (e.g., taxis, transit fleets, utility vehicles).
  - For arterial management and smart growth projects:
    - Pre- and post-project counts demonstrate high usage and potential to affect mode or behavior shift that reduces emissions.
    - Project demonstrates a strong potential to reduce motor vehicle trips by significantly improving mobility via walking, bicycling, and improving transit.
    - Project is located along high volume transit corridors and/or is near major activity centers such as schools, transit centers, civic or retail centers.
    - Project is associated with a multi-modal transit center, supports high-density mixed-use development or communities.

### **Attributes of Project Readiness**

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Projects must meet Readiness Policy (Policy #6). Beginning in FYE 2017, the Air District and the County Program Managers are directed to enforce the two-year time limit for bicycle projects (i.e., any projects under Policy # 29), the County Program Managers should cancel any projects that are not completed within the two-year time limit, and the Air District will not consider any extension requests for bicycle projects that have already been granted a two-year extension from the County

Program Manager.<sup>2</sup> For all other project categories, County Program Managers may grant a two-year extension, for a total of four years to implement projects.

Therefore, County Program Managers are strongly encouraged to require that bicycle projects have completed the following activities prior to being awarded TFCA funds in order to ensure the successful completion of projects:

- Planning (drawings)
- Obtaining permits
- Conducting environmental review/approvals.

Furthermore, County Program Managers are strongly encouraged to ensure that all projects meet project readiness prior to being awarded TFCA funds.

## **Program Schedule**

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### **Program Schedule for the FYE 2017 Cycle** (*County Program Manager deadlines are italicized*)

December 7, 2015	Expenditure Plan Application Guidance issued by Air District, including funding estimates
<i>March 3, 2016</i>	<i>Deadline for County Program Managers to submit Expenditure Plan application</i>
April 24, 2016	Proposed Expenditure Plan funding allocations reviewed by Air District Mobile Source Committee (tentative)
May 7, 2016	Expenditure Plan funding allocations considered for approval by Air District Board of Directors (tentative)
May 14, 2016	Air District provides Funding Agreements for funding allocations to County Program Managers for signature (tentative)
<i>May 31, 2016</i>	<i>Funding Status Report and Final Reports due for projects from FYE 2016 and prior years</i>
<i>August 7, 2016</i>	<i>Deadline: Within three months of Board approval, County Program Manager submits request for Air District approval of any projects that do not conform to TFCA policies (tentative)</i>
<i>October 31, 2016</i>	<i>Funding Status Report, Interim Project Reports, and Final Reports due for projects from FYE 2016 and prior years</i>
<i>November 7, 2016</i>	<i>Deadline: Within six months of Board approval, County Program Manager provides Cost-effectiveness Worksheets and Project Information Forms for new projects and programming (tentative)</i>
<i>May 31, 2017</i>	<i>Funding Status Report and Final Reports due for projects from FYE 2017 and prior years</i>

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<sup>2</sup> Per direction provided by the Air District's Mobile Source Committee members on October 22, 2015.



## **Expenditure Plan Application Process**

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By December 14, 2015, the Air District will email County Program Managers the Summary Information Form and Summary Information - Addendum Form (i.e., the Expenditure Plan application materials). These forms must be completed by the County Program Manager and returned to the Air District as indicated below. See Appendix B for examples of these forms.

**Expenditure Plans are due Thursday, March 3, 2016** and must be submitted in hard copy by mail or delivery service to:

Chengfeng Wang, Strategic Incentives Division  
Bay Area Air Quality Management District  
Strategic Incentives Division  
939 Ellis Street  
San Francisco, CA 94109

**Materials sent to the Air District via fax will not be accepted.**

## **Programming of Funds**

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County Program Managers must allocate (program) TFCA funds within *six months* of Air District Board approval of a County Program Manager's Expenditure Plan and submit a hard copy of: 1) the Cost-effectiveness Worksheet and 2) the Project Information Form for each new project or supplemental allocation to an existing project.

Policy #3 provides a mechanism for consideration of projects that are authorized in the TFCA legislation and meet the cost-effectiveness requirement for that project type, but are in some way inconsistent with the current-year TFCA County Program Manager Policies. To request that such a project be considered for approval by the Air District, County Program Managers must submit a Cost-effectiveness Worksheet, Project Information Form, and supporting documentation to the Air District for review no later than *three months* after Air District Board's approval of the Expenditure Plan. (See the Program Schedule section for further details.)

## **Project Information and Reporting Forms**

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The following Air District approved forms will be posted on the Air District's website at: [www.baaqmd.gov/tfca4pm](http://www.baaqmd.gov/tfca4pm).

- **Cost-effectiveness Worksheet (due within 6 months of Air District Board approval of Expenditure Plan, and for FYE 2016 and prior year projects, with the Final Report; see Appendix H)**

The purpose of the Cost-effectiveness Worksheet is to calculate estimated (pre-project) and realized (post-project) emissions reduced for each project, and compare the emissions reductions to the TFCA funds invested. County Program Managers must submit a worksheet for each new project and must ensure that the TFCA cost-effectiveness is equal to or less than \$90,000 in TFCA funds per ton of emissions reduced (i.e., reactive organic gases (ROG), oxides of nitrogen (NO<sub>x</sub>) and weighted particulate matter less than 10 microns in diameter (PM<sub>10</sub>)), **unless a different value is specified for that project type** in the Policies.

County Program Managers must submit a Cost-effectiveness Worksheet in MS Excel format for each project to the Air District pre- and post-project.

- **For projects that provide a service** (e.g., ridesharing, shuttle, bike share projects), post-project evaluations should be completed using the Cost-Effectiveness Worksheet

version from the *year of the project's start date* (which may be the same as the pre-application Cost-effectiveness Worksheet).

- **For all other projects**, post-project evaluations should be completed using the *most recent version* of the Cost-effectiveness Worksheet for the year the project was completed.

Instructions for completing the worksheets are found in Appendix H. If you do not use the Air District's default guidelines to determine a project's cost-effectiveness you must provide documentation and information to support alternate values and assumptions to the Air District for review and evaluation.

- Cost-effectiveness worksheets must be submitted in a Microsoft Excel spreadsheet with the filename structure listed below.
  - [Last two digits of FYE][abbreviated county code][sequential project number]\_CE-Submitted-[Project Name].xlsx
  - Example: 17SC12\_CE-Submitted-SanJoseZeroEmissionShuttle.xlsx
- **Project Information Form** (due within 6 months of Air District Board approval of Expenditure Plan; see Appendix G)
 

The primary purpose of the Project Information Form is to provide a description of each project funded and other applicable (including technical) information that is not captured in the Cost-effectiveness Worksheet. A copy of this form and instructions for completing it are found in Appendix G. Project Information Forms must be submitted for each new project funded, and a revised Project Information Form must be submitted whenever changes are approved by the County Program Manager that affect the information stated on this form.

  - Information Forms must be submitted in a Microsoft Word document with the filename structure listed below.
    - [Last two digits of FYE][abbreviated county code][sequential project number]\_ProjInfo-[Project Name].docx
    - Example: 17SC12\_ProjInfo-SanJoseZeroEmissionShuttle.docx

- **Biannual Funding Status Report Form** (due October 31 and May 31; see Appendix C)

This form is used to provide an update on all open and recently closed projects (closed since January 1 for the October 31 report and closed since July 1 for the May 31 report) and report any changes in status for all projects, including cancelled, completed under budget, received supplemental funding, or received a time extension during the previous six months. A copy of this form is attached in Appendix C.

- **Final Report Form** (due October 31 and May 31; tentatively available August 2016)

A Final Report Form is due at the conclusion of every project. These forms are available for download from the TFCA County Program Manager website. The Final Report Forms are specific to each type of project. Final Report Forms are due to the Air District semi-annually as follows:

- ***Due October 31: Projects that closed Jan 1–Jun 30 (and optionally those closing later)***
- ***Due May 31: Projects that closed Jul 1–Dec 31 (and optionally those closing later)***

Note, in previous years these report forms were titled “Project Monitoring Forms”.

- **Annual Interim Project Report Form** (due October 31; tentatively available August 2016)

For each active/open project, an Interim Project Report Form is due annually on October 31. These forms are available for download from the TFCA County Program Manager website. This report provides status information on project progress and fund usage. (Note, in previous years these report forms were titled “Project Status Reporting Forms”.)

County Program Managers may also choose to require additional reports of Grantees.

## **Additional Information**

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### **Workshops, Support, and Assistance**

Air District staff is available to assist with TFCA project cost-effectiveness analysis, workshops for Grantees, and outreach for TFCA projects. County Program Managers are urged to consult with Air District staff when evaluating complex projects (such as bike share, vehicle, and vehicle infrastructure projects requiring the evaluation of emission reductions beyond those required by regulations) or when using cost-effectiveness assumptions other than those provided by the Air District in this Guidance. Consulting with the Air District prior to awarding funds minimizes the potential for both funding projects that are not eligible for TFCA funds and awarding more funding to a project than it is eligible for. Please contact us and let us know how we can assist you.

### **Air District Contact**

Please direct questions to: Linda Hui, Administrative Analyst, (415) 749-4796, [lhui@baaqmd.gov](mailto:lhui@baaqmd.gov)

## *Appendix A: Guidelines for Eligible TFCA Reimbursable Costs*

---

The TFCA-enabling legislation allows vehicle registration fees collected for the program to be used for project implementation costs, as well as administrative project costs. This appendix provides guidance on differentiating and reporting these costs. The Air District will use the definitions and interpretations discussed below in the financial accounting of the TFCA program. The Air District conducts audits on TFCA-funded projects to ensure that the funds have been spent in accordance with the program guidelines and policies.

### **Project Implementation Costs**

Project implementation costs are charges associated with implementing a TFCA-funded project including:

- Documented hourly labor charges (salaries, wages, and benefits) directly and solely related to implementation of the TFCA project;
- Capital equipment and installation costs;
- Shuttle driver labor and equipment maintenance costs;
- Contractor labor charges related to the TFCA project;
- Travel, training, and associated personnel costs that are directly related to the implementation of the TFCA-funded project (e.g., the cost of training mechanics to service TFCA-funded natural gas clean air vehicles); and
- Indirect costs associated with implementing the project, including reasonable overhead costs incurred to provide a physical place of work (e.g., rent, utilities, office supplies), general support services (e.g., payroll, reproduction), and managerial oversight.

### **Administrative Project Costs**

Administrative project costs are costs associated with the administration of a TFCA project, and do not include project capital or operating costs, as discussed above. Administrative project costs that are reimbursable to a Grantee are limited to a maximum of five percent (5%) of the total TFCA funds received.

Administrative project costs are limited to the following activities that have documented hourly labor and overhead costs (salaries, wages, and benefits). Hourly labor charges must be expressed on the basis of hours worked on the TFCA project.

- Costs associated with administering the TFCA Funding Agreement (e.g., responding to requests for information from Air District and processing amendments). Note that costs incurred in the preparation of a TFCA application or costs incurred prior to the execution of the Funding Agreement are not eligible for reimbursement;
- Accounting for TFCA funds; and
- Fulfilling all monitoring, reporting, and record-keeping requirements specified in the TFCA Funding Agreement, including the preparation of reports, invoices, and final reports.

Additionally, documented indirect administrative costs associated with administering the project, including reasonable overhead costs of utilities, office supplies, reproduction and managerial oversight are also eligible.

The project implementation and administrative project costs that are approved by the County Program Manager shall be described in a Funding Agreement. The Grantee may seek reimbursement for project implementation and administrative project costs by providing proper documentation with project invoices. Documentation for these costs will show how these costs were calculated, for example, by listing the date when the hours were worked, employees' job titles, employees' hourly pay rates, tasks being charged, and total charges. Documentation of hourly charges may be provided with time sheets or any other generally accepted accounting method to allocate and document staff time.

## Appendix B: Sample Expenditure Plan Application

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### SUMMARY INFORMATION

County Program Manager Agency Name: \_\_\_\_\_

Address: \_\_\_\_\_

#### PART A: NEW TFCA FUNDS

1. Estimated FYE 2017 DMV revenues (based on projected CY2015 revenues): Line 1: \_\_\_\_\_
2. Difference between prior-year estimate and actual revenue: Line 2: \_\_\_\_\_
  - a. Actual FYE 2015 DMV revenues (based on CY2014): \_\_\_\_\_
  - b. Estimated FYE 2015 DMV revenues (based on CY2014): \_\_\_\_\_

(‘a’ minus ‘b’ equals Line 2.)
3. Estimated New Allocation (Sum of Lines 1 and 2): Line 3: \_\_\_\_\_
4. Interest income. List interest earned on TFCA funds in calendar year 2015. Line 4: \_\_\_\_\_
5. Estimated TFCA funds budgeted for administration:<sup>1</sup> Line 5: \_\_\_\_\_

(Note: This amount may not exceed 5% of Line 3.)
6. **Total new TFCA funds available in FYE 2017 for projects and administration** Line 6: \_\_\_\_\_

(Add Lines 3 and 4. These funds are subject to the six-month allocation deadline.)

#### PART B: TFCA FUNDS AVAILABLE FOR REPROGRAMMING

7. **Total amount from previously funded projects available for reprogramming to other projects.** (Enter zero (0) if none.) Line 7: \_\_\_\_\_

(Note: Reprogrammed funds originating from pre-2006 projects are not subject to the six-month allocation deadline.)

#### PART C: TOTAL AVAILABLE TFCA FUNDS

8. **Total Available TFCA Funds** (Sum of Lines 6 and 7) Line 8: \_\_\_\_\_
9. Estimated Total TFCA funds available for projects (Line 8 minus Line 5) Line 9: \_\_\_\_\_

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

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

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

---

<sup>1</sup> The “Estimated TFCA funds budgeted for administration” amount is listed for informational purposes only. Per California Health and Safety Code Section 44233, County Program Managers must limit their administrative costs to no more than 5% of the actual total revenue received from the Air District.

**SUMMARY INFORMATION - ADDENDUM**  
Complete if there are TFCA Funds available for reprogramming.

[illegible]

**TOTAL TFCA FUNDS AVAILABLE FOR REPROGRAMMING**  
(Enter this amount in Part B, Line 7 of Summary Information form)

\$\_\_\_\_\_

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

Page 116



## *Appendix D: Board-Adopted TFCA County Program Manager Fund Policies for FYE 2017*

**Adopted November 18, 2015**

The following Policies apply only to the Transportation Fund for Clean Air (TFCA) County Program Manager Fund.

### **BASIC ELIGIBILITY**

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

Projects must conform to the provisions of the California Health and Safety Code (HSC) sections 44220 et seq. and these Air District Board of Directors adopted TFCA County Program Manager Fund Policies for FYE 2017.

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

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

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

**Table 1: Maximum Cost-Effectiveness for FYE 2017 County Program Manager Fund Projects**

Policy No.	Project Category	Maximum C-E (\$/weighted ton)
22	Alternative Fuel Light-Duty Vehicles	250,000
23	Reserved	Reserved
24	Alternative Fuel Heavy-Duty Vehicles and Buses	250,000
25	Alternative Fuel Bus Replacement	250,000
26	Alternative Fuel Infrastructure	250,000
27	Ridesharing Projects	90,000

28 A-H	Shuttle/Feeder Bus Service – Existing	175,000; 200,000 for services in CARE Areas or PDAs
28 I	Shuttle/Feeder Bus Service - Pilot	Year 1 - 200,000 Year 2 - 175,000
28 I	Shuttle/Feeder Bus Service – Pilot in CARE Areas or PDAs	Year 1 - 500,000 Year 2 - 200,000 Year 3 - 175,000
29	Bicycle Projects	250,000
30	Bay Area Bike Share	500,000
31	Arterial Management	175,000
32	Smart Growth/Traffic Calming	175,000

3. **Eligible Projects and Case-by-Case Approval:** Eligible projects are those that conform to the provisions of the HSC section 44241, Air District Board adopted policies and Air District guidance. On a case-by-case basis, County Program Managers must receive approval by the Air District for projects that are authorized by the HSC section 44241 and achieve Board-adopted TFCA cost-effectiveness but do not fully meet other Board-adopted Policies.
4. **Consistent with Existing Plans and Programs:** All projects must comply with the transportation control measures and mobile source measures included in the Air District's most recently approved plan for achieving and maintaining State and national ambient air quality standards, which are adopted pursuant to HSC sections 40233, 40717 and 40919, and, when specified, with other adopted State, regional, and local plans and programs.
5. **Eligible Recipients:** Grant recipients must be responsible for the implementation of the project, have the authority and capability to complete the project, and be an applicant in good standing with the Air District (Policies #8-10).
  - A. Public agencies are eligible to apply for all project categories.
  - B. Non-public entities are only eligible to apply for new alternative-fuel (light, medium, and heavy-duty) vehicle and infrastructure projects, and advanced technology demonstrations that are permitted pursuant to HSC section 44241(b)(7).
6. **Readiness:** Projects must commence by the end of calendar year 2017. “Commence” includes any preparatory actions in connection with the project’s operation or implementation. For purposes of this policy, “commence” can mean the issuance of a purchase order to secure project vehicles and equipment, commencement of shuttle/feeder bus and ridesharing service, or the delivery of the award letter for a construction contract.
7. **Maximum Two Years Operating Costs:** Projects that provide a service, such as ridesharing programs and shuttle and feeder bus projects, are eligible to apply for a period of up to two (2) years, except for bike share projects, which are eligible to apply for a period of up to five (5) years. Grant applicants that seek TFCA funds for additional years must reapply for funding in the subsequent funding cycles.

#### APPLICANT IN GOOD STANDING

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

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

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

#### INELIGIBLE PROJECTS

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

#### USE OF TFCA FUNDS

15. **Combined Funds:** Unless otherwise specified in policies #22 through #32, TFCA County Program Manager Funds may not be combined with TFCA Regional Funds to fund a County Program Manager Fund project. Projects that are funded by the TFCA County Program Manager Fund are not eligible for additional funding from other funding sources that claim emissions credits. (For example, County Program Manager-funded projects are eligible for Congestion Mitigation and Air Quality (CMAQ) funds because CMAQ does not require emissions reductions for funding eligibility.)
16. **Administrative Costs:** The County Program Manager may not expend more than five percent (5%) of its County Program Manager Funds for its administrative costs. The County Program

Manager's costs to prepare and execute its Funding Agreement with the Air District are eligible administrative costs. Interest earned on County Program Manager Funds shall not be included in the calculation of the administrative costs. To be eligible for reimbursement, administrative costs must be clearly identified in the expenditure plan application and in the Funding Agreement, and must be reported to the Air District.

17. **Expend Funds within Two Years:** County Program Manager Funds must be expended within two (2) years of receipt of the first transfer of funds from the Air District to the County Program Manager in the applicable fiscal year, unless a County Program Manager has made the determination based on an application for funding that the eligible project will take longer than two years to implement. Additionally, a County Program Manager may, if it finds that significant progress has been made on a project, approve no more than two one-year schedule extensions for a project. Any subsequent schedule extensions for projects can only be given on a case-by-case basis, if the Air District finds that significant progress has been made on a project, and the Funding Agreement is amended to reflect the revised schedule.
18. **Unallocated Funds:** Pursuant to HSC 44241(f), any County Program Manager Funds that are not allocated to a project within six months of the Air District Board of Directors approval of the County Program Manager's Expenditure Plan may be allocated to eligible projects by the Air District. The Air District shall make reasonable effort to award these funds to eligible projects in the Air District within the same county from which the funds originated.
19. **Incremental Cost (for the purchase or lease of new vehicles):** For new vehicles, TFCA funds awarded may not exceed the incremental cost of a vehicle after all rebates, credits, and other incentives are applied. Such financial incentives include manufacturer and local/state/federal rebates, tax credits, and cash equivalent incentives. Incremental cost is the difference in cost between the purchase or lease price of the new vehicle, and the price of its new conventional vehicle counterpart that meets, but does not exceed, the most current emissions standards at the time that the project is evaluated.
20. **Reserved.**
21. **Reserved.**

#### **ELIGIBLE PROJECT CATEGORIES**

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

**Eligibility:** For TFCA purposes, light-duty vehicles are those with a gross vehicle weight rating (GVWR) of 14,000 lbs. or lighter. Eligible alternative light-duty vehicle types and equipment eligible for funding are:

- A. Purchase or lease of new hybrid-electric, electric, fuel cell, and CNG/LNG vehicles certified by the California Air Resources Board (CARB) as meeting established super ultra-low emission vehicle (SULEV), partial zero emission vehicle (PZEV), advanced technology-partial zero emission vehicle (AT-PZEV), or zero emission vehicle (ZEV) standards.
- B. Purchase or lease of new electric neighborhood vehicles (NEV) as defined in the California Vehicle Code.

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

##### **23. Reserved.**

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

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

- A. Vehicles purchased and/or leased either have a GVWR greater than 14,000lbs or are classified as urban buses; and
- B. Are 2015 model year or newer hybrid-electric, electric, CNG/LNG, and hydrogen fuel cell vehicles certified by the CARB.

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

**Scrapping Requirements:** Grantees with a fleet that includes model year 1998 or older heavy-duty diesel vehicles must scrap one model year 1998 or older heavy-duty diesel vehicle for each new vehicle purchased or leased under this grant. Costs related to the scrapping of heavy-duty vehicles are not eligible for reimbursement with TFCA funds.

#### 25. **Alternative Fuel Bus Replacement:**

**Eligibility:** For purposes of transit and school bus replacement projects, a bus is any vehicle designed, used, or maintained for carrying more than 15 persons, including the driver. A vehicle designed, used, or maintained for carrying more than 10 persons, including the driver, which is used to transport persons for compensation or profit, or is used by any nonprofit organization or group, is also a bus. A vanpool vehicle is not considered a bus. Buses are subject to the same eligibility requirements and the same scrapping requirements listed in Policy #24.

#### 26. **Alternative Fuel Infrastructure:**

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

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

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

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

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

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

- A. The service must provide direct connections between a mass transit hub (e.g., a rail or Bus Rapid Transit (BRT) station, ferry or bus terminal or airport) and a distinct commercial or employment location.
- B. The service's schedule must be coordinated to have a timely connection with corresponding mass transit service.
- C. The service must be available for use by all members of the public.
- D. TFCA funds may be used to fund only shuttle services to locations that are under-served and lack other comparable service. For the purposes of this policy, "comparable service" means that there exists, either currently or within the last three years, a direct, timed, and publicly accessible service that brings passengers to within one-third (1/3) mile of the proposed commercial or employment location from a mass transit hub. A proposed service will not be deemed "comparable" to an existing service that brings passengers from a mass transit hub to within 1/3 mile of the employment location or commercial hub if the passengers' proposed travel time will be at least 15 minutes less than and will be at least 33% shorter than the existing service's travel time to the proposed destination.
- E. Project applicants that were awarded FYE 2014 or FYE 2015 or FYE 2016 TFCA Funds that propose identical routes in FYE 2015 or in FYE 2016 or in FYE 2017 may request an exemption from the requirements of Policy 28.D. provided they meet the following requirements: 1) No further TFCA project funding as of January 1, 2017; 2) The proposed service must serve the identical transit hub and commercial or employment locations as the previously funded project; and 3) Submission of a plan to achieve financial self-sufficiency from TFCA funds by January 1, 2017, or a plan to come into compliance with Policy 28.D. and all other eligibility criteria.
- F. Shuttle/feeder bus service applicants must be either: 1) a public transit agency or transit district that directly operates the shuttle/feeder bus service; or (2) a city, county, or any other public agency.
- G. Shuttle/feeder bus service applicants must submit a letter of concurrence from the transit district or transit agency that provides service in the area of the proposed route, certifying that the service does not conflict with existing service.
- H. Existing projects must meet a cost-effectiveness of \$175,000 per ton of emissions reduced. Projects that would operate in Highly Impacted Communities or Episodic Areas as defined in the Air District Community Air Risk Evaluation (CARE) Program, or in Priority Development Areas (PDAs), may qualify for funding at a cost-effectiveness limit of \$200,000 per ton of emissions reduced.
- I. Pilot Shuttle/Feeder Bus Service: Pilot shuttle/feeder bus service projects are defined as routes that are at least 70% unique and where no other service was provided within the past three years. In addition to meeting the conditions listed in Policy #28.A-H for shuttle/feeder bus service, pilot shuttle/feeder bus service, project applicants must also comply with the following application criteria and agree to comply with the project implementation requirements:

- i. Provide data and other evidence demonstrating the public's need for the service, including a demand assessment survey and letters of support from potential users. Project applicants must agree to conduct a passenger survey for each year of operation.
- ii. Provide written documentation of plans for financing the service in the future;
- iii. Provide a letter from the local transit agency denying service to the project's proposed service area, which includes the basis for denial of service to the proposed areas. The applicant must demonstrate that the project applicant has attempted to coordinate service with the local service provider and has provided the results of the demand assessment survey to the local transit agency. The applicant must provide the transit service provider's evaluation of the need for the shuttle service to the proposed area.
- iv. Pilot projects located in Highly Impacted Communities as defined in the Air District Community Air Risk Evaluation (CARE) Program and/or a Planned or Potential Priority Development Area (PDA) may receive a maximum of three years of TFCA Funds under the Pilot designation. For these projects, the project applicants understand and must agree that such projects will be evaluated every year, and continued funding will be contingent upon the projects meeting the following requirements:
  - a. During the first year of operation, projects must not exceed a cost-effectiveness of \$500,000/ton,
  - b. By the end of the second year of operation, projects must not exceed a cost-effectiveness of \$200,000/ton, and
  - c. By the end of the third year of operation, projects must not exceed a cost-effectiveness of \$175,000/ton and meet all of the requirements of Policy #28.A-H (existing shuttles).
- v. Projects located outside of CARE areas and PDAs may receive a maximum of two years of TFCA Funds under this designation. For these projects, the project applicants understand and must agree that such projects will be evaluated every year, and continued funding will be contingent upon the projects meeting the following requirements:
  - a. By the end of the first year of operation, projects shall meet a cost-effectiveness of \$200,000/ton, and  
By the end of the second year of operation, projects shall cost \$175,000 or less per ton (cost-effectiveness rating) and shall meet all of the requirements of Policy #28.A-H (existing shuttles).

## **29. Bicycle Projects:**

New bicycle facility projects that are included in an adopted countywide bicycle plan or Congestion Management Program (CMP) are eligible to receive TFCA funds. Eligible projects are limited to the following types of bicycle facilities for public use that result in motor vehicle emission reductions:

- A. New Class-1 bicycle paths;
- B. New Class-2 bicycle lanes;
- C. New Class-3 bicycle routes;
- D. New Class-4 cycle tracks or separated bikeways;
- E. Reserved.
- F. Bicycle racks, including bicycle racks on transit buses, trains, shuttle vehicles, and ferry vessels;

- G. Electronic bicycle lockers;
- H. Capital costs for attended bicycle storage facilities; and
- I. Purchase of two-wheeled or three-wheeled vehicles (self-propelled or electric), plus mounted equipment required for the intended service and helmets.
- J. Reserved.

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

### **30. Bay Area Bike Share**

These projects make bicycles available to individuals for shared use for completing first- and last-mile trips in conjunction with regional transit and stand-alone short distance trips. To be eligible for TFCA funds, bicycle share projects must work in unison with the existing Bay Area Bike Share Project by either increasing the fleet size within the initial participating service areas or expanding the existing service area to include additional Bay Area communities. Projects must have a completed and approved environmental plan and a suitability study demonstrating the viability of bicycle sharing. Projects may be awarded TFCA funds to pay for up to five years of operations.

### **31. Arterial Management:**

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

### **32. Smart Growth/Traffic Calming:**

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

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

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



## *Appendix E: Glossary of Terms*

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

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

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

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

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

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

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

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

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

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

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

## *Appendix F: Insurance Guidelines*

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This appendix provides guidance on the insurance coverage and documentation typically required for TFCA County Program Manager Fund projects. Note that the Air District reserves the right to specify different types or levels of insurance in the Funding Agreement.

The typical Funding Agreement requires that each Grantee provide documentation showing that they meet the following requirements for each of their projects. The County Program Manager is not required to meet these requirements itself, unless it is acting as a Grantee.

### **1. Liability Insurance:**

Corporations and Public Entities - a limit of not less than \$1,000,000 per occurrence. Such insurance shall be of the type usual and customary to the business of the Grantee, and to the operation of the vehicles, engines or equipment operated by the Project Sponsor.

Single Vehicle Owners - a limit of not less than \$750,000 per occurrence. Such insurance shall be of the type usual and customary to the business of the Grantee, and to the operation of the vehicles, engines or equipment operated by the Grantee.

### **2. Property Insurance:**

New Equipment Purchases - an amount of not less than the insurable value of Grantee's vehicles, engines or equipment funded under this Agreement, and covering all risks of loss, damage or destruction of such vehicles, engines or equipment.

Retrofit Projects - 2003 model year vehicles or engines or newer in an amount of not less than the insurable value of Grantee's vehicles, engines or equipment funded under this Agreement, and covering all risks of loss, damage or destruction of such vehicles, engines or equipment.

### **3. Workers Compensation Insurance:**

Construction projects – including but not limited to bike/pedestrian paths, bike lanes, smart growth and vehicle infrastructure, as required by California law and employers insurance with a limit not less than \$1 million.

### **4. Acceptability Of Insurers:**

Insurance is to be placed with insurers with a current A.M. Best's rating of no less than A: VII. The Air District may, at its sole discretion, waive or alter this requirement or accept self-insurance in lieu of any required policy of insurance.

The following table lists the type of insurance coverage generally required for each project type. The requirements may differ in specific cases. County Program Managers should contact the Air District liaison with questions, especially about unusual projects.

<b>Project Category</b>	<b>Liability</b>	<b>Property</b>	<b>Workers Compensation</b>
Vehicle purchase and lease	X	X	
Engine retrofits	X	X	
Operation of shuttle services	X		X
Operation of vanpools	X		
Construction of bike/pedestrian path or overpass	X		X
Construction of bike lanes	X		X
Construction of cycle tracks/separated bikeways	X		X
Construction of smart growth/traffic calming projects	X		X
Construction of vehicle fueling/charging infrastructure	X	X	X
Arterial management/signal timing	X		X
Purchase and installation of bicycle lockers and racks	X	X	X
Transit marketing programs	X		
Ridesharing projects	X		X
Bike Share projects	X	X	X
Transit pass subsidy or commute incentives	X		
Guaranteed Ride Home Program	X		

## *Appendix G: Sample Project Information Form*

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A. Project Number: 17XX01

*Use consecutive numbers for projects funded, with year, county code, and number, e.g., 17MAR01, 17MAR02 for Marin County. Zero (e.g., 17MAR00) is reserved for County Program Manager TFCA funds allocated for administration costs.*

B. Project Title: \_\_\_\_\_

*Provide a concise, descriptive title for the project (e.g., "Elm Ave. Signal Interconnect" or "Purchase Ten Gasoline-Electric Hybrid Light-Duty Vehicles").*

A. TFCA County Program Manager Funds Allocated: \$ \_\_\_\_\_

B. TFCA Regional Funds Awarded (if applicable):\$ \_\_\_\_\_

C. Total TFCA Funds Allocated (sum of C and D):\$ \_\_\_\_\_

D. Total Project Cost: \$ \_\_\_\_\_

*Indicate the TFCA dollars allocated (C, D and E) and total project cost (D). Data from Line E (Total TFCA Funds) should be used to calculate C-E.*

E. Project Description:

*Grantee will use TFCA funds to \_\_\_\_\_. Include information sufficient to evaluate the eligibility and cost-effectiveness of the project. Ex. of the information needed include but are not limited to: what will be accomplished by whom, how many pieces of equipment are involved, how frequently it is used, the location, the length of roadway segments, the size of target population, etc. Background information should be brief. For shuttle/feeder bus projects, indicate the hours of operation, frequency of service, and rail station and employment areas served.*

F. Final Report Content: Final Report form and final Cost Effectiveness Worksheet

*Reference the appropriate Final Report form that will be completed and submitted after project completion. See [www.baaqmd.gov/tfca4pm](http://www.baaqmd.gov/tfca4pm) for a listing of the following forms:*

- *Form for Ridesharing, Shuttles, Transit Information, Rail/Bus Integration, Smart Growth, and Traffic Calming Projects. (Includes Transit Bus Signal Priority.)*
- *Form for Clean Air Vehicle and Infrastructure Projects*
- *Form for Bicycle Projects*
- *Form for Arterial Management Projects*

G. Attach a completed Cost-effectiveness Worksheet and any other information used to evaluate the proposed project. *For example, for vehicle projects, include the California Air Resources Board Executive Orders for all engines and diesel emission control systems. Note, Cost-effectiveness Worksheets are not needed for TFCA County Program Managers' own administrative costs.*

H. Comments (if any):

*Add any relevant clarifying information in this section.*

## *Appendix H: Instructions for Cost-effectiveness Worksheets*

Cost-effectiveness Worksheets are used to calculate project emission reductions and TFCA cost-effectiveness (TFCA \$ / ton of emission reductions). County Program Managers must submit Cost-effectiveness Worksheets for each new project and each project receiving additional TFCA funds, along with Project Information Forms, no later than six months after Air District Board approval of the County Program Manager's Expenditure Plan. County Program Managers must also submit Worksheets with Final Report Forms. The most recent Worksheet should be used at time of Final Report to most accurately reflect the emissions reduced.

The Air District provides Microsoft Excel worksheets by e-mail. Worksheets must be completed for all project types with the exception of TFCA County Program Manager administrative costs.

<b><u>Project Type</u></b>	<b><u>Worksheet Name</u></b>
Ridesharing, Shuttles, Bicycle, Bike Share , Smart Growth, and Traffic Calming Projects	Trip Reduction FYE 17
Arterial Management: Signal Timing	Arterial Management FYE 17
Transit Bus Signal Priority (also for Transit Rail Vehicles)	Trip Reduction FYE 17
Alternative-Fuel Light-Duty and Light Heavy-Duty Vehicles or Infrastructure	LD & LHD Vehicle FYE 17
Alternative-Fuel Low-Mileage Utility Trucks – Idling Service	Heavy-Duty Vehicle FYE 17
Alternative-Fuel Heavy-Duty Vehicles, Buses, or Infrastructure	Heavy-Duty Vehicle FYE 17

**Make entries in the yellow-shaded areas only in the worksheets.** Begin each new filename with the application number (e.g., 17MAR04) as described below. Each worksheet contains separate tabs for: Instructions (no user input), General Information, Calculations, Notes and Assumptions, and Emission Factors (no user input).

**County Program Managers must provide all relevant assumptions used to determine the project's cost-effectiveness in the Notes & Assumptions tab. If a County Program Manager seeks to use different default values or methodologies, it is advisable that they consult with the Air District before project approval, in order to avoid the potential for funding projects that are not eligible for TFCA funds.**

The Air District encourages County Program Managers to assign the shortest duration possible for the # Years of Effectiveness value for a project to meet the cost-effectiveness requirement. This practice will help to minimize both the Grantee and County Program Manager's administrative burdens.

### **Instructions Specific to Each Project Type**

#### Ridesharing and Shuttle Projects

Two key components in calculating cost-effectiveness is the number of vehicle trips eliminated per day and the trip length. **The number of vehicle trips eliminate is the number of trips by participants that would have driven as a single occupant vehicle if not for the service; it is not the same as the total number of riders or participants.** A frequently used proxy is the number of survey respondents who report that they would have driven alone if not for the service provided. For calculating the length of trip, it is appropriate

to use only the length of the vehicle trip avoided by riders that otherwise would have driven alone.

In addition, **each shuttle route must meet the cost-effectiveness criteria** (Policy # 28). If a project consists of more than one route, one worksheet should be submitted with all routes listed, and a separate worksheet must be prepared showing the cost-effectiveness of each route (i.e., as determined by that route's ridership, funding allocation, etc.).

#### Transit Signal Priority

For the length of trip, a good survey practice is to determine the length of automobile trip avoided by just those riders that otherwise would have driven, rather than by all riders.

#### Arterial Management Projects

**Please note that each segment must meet the cost-effectiveness requirement** (Policy #31). If there are multiple segments being considered for funding, one worksheet should be submitted with all segments listed, and a separate worksheet should be submitted showing the cost-effectiveness for each segment.

For a signal timing project to qualify for four (4) years of effectiveness, the signals must be retimed after two (2) years.

#### Smart Growth, Traffic Calming

Projects must reduce vehicle trips by increasing pedestrian/bicycle travel and transit use. Projects that only involve slowing automobile traffic briefly (e.g., via speed bumps) tend to not be cost-effective, as the acceleration following deceleration increases emissions.

#### Vehicle and Fueling Infrastructure Projects

**The investment in each individual vehicle must be shown to be cost-effective** (Policy #2). The worksheet calculates the cost-effectiveness of each vehicle separately, so only one worksheet is required when more than one vehicle is being considered for funding.

TFCA Policies require that all projects including those subject to emission reduction regulations, contracts, or other legally binding obligations achieve *surplus* emission reductions—that is, reductions that go beyond what is required. **Therefore, vehicles with engines certified as Family Emission Limit (FEL) engines are not eligible for funding because the engine is certified for participation in an averaging, banking, and trading program in which emission benefits are already claimed by the manufacturer.**

Because TFCA funds may only be used to fund early-compliance emissions reductions, and because of the various fleet rule requirements, calculating cost-effectiveness for vehicle grant projects can be complex, and it is recommended that it be done only by someone familiar with all applicable regulations and certifications. Additionally, electric vehicle infrastructure generally does not qualify for more than \$2,000 per charging spot, and County Program Managers should consult with the Air District on such projects, as the evaluation methodologies are evolving. Also, any questions should be raised to Air District staff well before project approval deadlines in order to assure project eligibility.

The cost-effectiveness of fueling infrastructure is based on the vehicles that will use the funded facility. For these projects, County Program Managers must exercise care that emission reductions from the associated vehicles are only credited towards a TFCA infrastructure project, and are not double counted in any other Air District grant program, either at the present time or for future vehicles that will use the facility during its effective life.

The total mileage a vehicle can travel may be limited by regulation, and the product of Years of Effectiveness and Average Annual Miles cannot exceed that mileage (e.g., some cities limit the lifetime miles a taxicab can travel).

**Heavy-duty vehicle and infrastructure projects:** The California Air Resources Board (CARB) Carl Moyer Program Guidelines document is the source for the formulas and factors used in the Heavy-Duty Vehicle worksheet. The full documentation is available at <http://www.arb.ca.gov/msprog/moyer/guidelines/current.htm>. Note that there are some differences between the TFCA and Moyer programs; consult Air District staff with any questions. At a minimum, a funded vehicle must have an engine complying with the model year 2010 and later emission standards. Vehicles that are funded by the TFCA shall not be co-funded with other funding sources that claim emissions credits. At this time, vehicles that are funded by the CARB (e.g., Hybrid and Zero-Emission Truck and Bus Voucher Incentive Project [HVIP]), Carl Moyer, or other Air District grant programs are not eligible for additional funding from TFCA.

**Documentation and Recordkeeping:** Beginning in FYE 2012, Project files must be maintained by County Program Managers and Grantees for a minimum of *five years* following completion of the project (i.e., Project Years Effectiveness), versus three years as before. Project files must contain all related documentation including copies of CARB executive orders, quotes, mileage logs, fuel usage (if cost-effectiveness is based on fuel use), photographs of engines and frames that were required to be scrapped, and financial records, in order to document the funding of eligible and cost-effective projects.

Guidance on inputs for the worksheets follows.

### ***Instructions Tab***

Provides instructions applicable to the relevant project type(s).

### ***General Information Tab***

**Project Number**, which has three parts:

**1<sup>st</sup>** – fiscal year in which project will be funded (e.g., 17 for FYE 2017).

**2<sup>nd</sup>** – County Program Manager; use the following abbreviations:

<b>ALA</b> – Alameda	<b>CC</b> - Contra Costa	<b>MAR</b> – Marin
<b>NAP</b> – Napa	<b>SF</b> - San Francisco	<b>SM</b> - San Mateo
<b>SC</b> - Santa Clara	<b>SOL</b> – Solano	<b>SON</b> – Sonoma

**3<sup>rd</sup>** – two-digit number identifying project; 00 is reserved for County Program Manager administrative costs.

Example: 17MAR04 = fiscal year ending **2017**, **Marin**, Project **#04**.

**Project Title:** *Short and descriptive* title of project, matching that on the Project Information Form.

**Project Type Code:** Insert one and only one of the following codes for the corresponding project type. If a project has multiple parts, use the code for the main component. Note that not all listed project types may be allowed in the current funding cycle.

Code	Project Type	Code	Project Type
0	Administrative costs	6c	Shuttle services – NG powered
1a	NG buses (transit or shuttle buses)	6d	Shuttle services – EV powered
1b	EV buses	6e	Shuttle services – Fuel cell powered
1c	Hybrid buses	6f	Shuttle services – Hybrid vehicle
1d	Fuel cell buses	6g	Shuttle services – Other fuel type
1e	Buses – Alternative fuel	6h	Shuttle services w/TFCA purchased retrofit
2a	NG school buses	6i	Shuttle services – fleet uses various fuel types
2b	EV school buses	7a	Class 1 bicycle paths
2c	Hybrid school buses	7b	Class 2 bicycle lanes
2d	Fuel cell school buses	7c	Class 3 bicycle routes, bicycle boulevards
2e	School buses – Alternative fuel	7d	Bicycle lockers and cages
3a	Other heavy-duty – NG (street sweepers, garbage trucks)	7e	Bicycle racks
3b	Other heavy-duty – EV	7f	Bicycle racks on buses
3c	Other heavy-duty – Hybrid	7g	Attended bicycle parking (“bike station”)
3d	Other heavy-duty – Fuel cell	7h	Other type of bicycle project (e.g., bicycle loop detectors)
3e	Other heavy-duty - Alternative fuel (High Mileage)	7i	Bike share
3f	Other heavy-duty - Alternative fuel (Low Mileage)	7j	Class 4 cycle tracks or separated bikeways
4a	Light-duty vehicles – NG	8a	Signal timing (Regular projects to speed traffic)
4b	Light-duty vehicles – EV	8b	Arterial Management – transit vehicle priority
4c	Light-duty vehicles – Hybrid	8c	Bus Stop Relocation
4d	Light-duty vehicles – Fuel cell	8d	Traffic roundabout
4e	Light-duty vehicles – Other clean fuel	9a	Smart growth – traffic calming
5a	Implement TROs (pre-1996 projects only)	9b	Smart growth – pedestrian improvements
5b	Regional Rideshare Program	9c	Smart growth – other types
5c	Incentive programs (for any alternative mode)	10a	Rail-bus integration
5d	Guaranteed Ride Home programs	10b	Transit information / marketing
5e	Ridesharing – Vanpools (if cash incentive only, use 5c)	11a	Telecommuting demonstration
5f	Ridesharing – School carpool match	11b	Congestion pricing demonstration
5g	Other ridesharing / trip reduction projects	11c	Other demonstration project
5h	Trip reduction bicycle projects (e.g., police on bikes)	12a	Natural gas infrastructure
6a	Shuttle services – diesel powered	12b	Electric vehicle infrastructure
6b	Shuttle services – gasoline powered	12c	Alternative fuel infrastructure

**County:** Use the same abbreviations as used in Project Number.

**Worksheet Calculated by:** Name of person completing the worksheet.

**Date of Submission:** Date submitted to the County Program Manager.

**Grantee Org.:** Organization responsible for the project.

**Contact Name:** Name of individual responsible for implementing the project.  
Include all contact information requested (email, phone, address).

**Project Start Date** Project must meet Readiness Policy (Policy #6).

**Completion Date & Final Report to CMA:** County Program Managers must expend funds within two years of receipt, unless an application states that the project will take a longer period of time and is approved by the County Program Manager or the Air District.



***Calculations Tab***

**Because the worksheets have many interrelated formulas and references, users must not add or delete rows or columns, or change any formulas, without consulting with the Air District.** Several cells have input choices or information built in, as pull-down menus or comments in Excel. Pull-down menus are accessed by clicking on the cell. Comments are indicated by a small triangle in the upper right corner of a cell, and are made visible by resting the cursor over the cell.

**Cost Effectiveness Inputs**

- # Years Effectiveness:** Equivalent to the administrative period of the grant. See inputs table below. The best practice is to use shortest value possible.
- Total Project Cost:** Total cost of project including TFCA funding, sponsor funding, and funds contributed by other entities. Only include goods and services of which TFCA funding is an integral part.
- TFCA Cost:** TFCA 40% County Program Manager Funds and the 60% Regional Funds (if any), listed separately.

**Emission Reduction Calculations**

Instructions and default values for each project type are provided in the table below. Default values for years of effectiveness are provided for the various project types. There are no defaults for Smart Growth projects, due to the wide variability in these projects.

***Notes & Assumptions Tab***

Provide an explanation of all assumptions used. If you do not use the Air District's guidelines and default values to determine cost-effectiveness, you must document and explain your inputs and assumptions after receiving written approval from the Air District.

***Emission Factors Tab***

This tab contains references for the Calculations tab. **No changes shall be made to this tab.**

**Additional Information for Heavy-duty Vehicle Projects**

CARB has adopted a number of standards and fleet rules that limit funding opportunities for on-road heavy-duty vehicles. See the below list of CARB rules that affect on-road heavy-duty fleets, followed by a reference sample CARB Executive Order. For assistance in determining whether a potential project is affected, contact Air District staff or consult Carl Moyer Implementation Charts at: <http://www.arb.ca.gov/msprog/moyer/guidelines/supplemental-docs.htm>

**Summary of On-Road Heavy-Duty Fleet Rules**

<b>Vehicle Type</b>	<b>Subject to CARB Fleet Rule?</b>
Urban buses	Fleet Rule for Transit Agencies
Transit Fleet Vehicles	Fleet Rule for Transit Agencies
Solid Waste Collection Vehicles, excluding transfer trucks	Solid Waste Collection Vehicle Regulation
Municipal Vehicles and Utility Vehicles	Fleet Rule for Public Agencies and Utilities
Port and Drayage Trucks	Port Truck Regulation
All other On-road heavy-duty vehicles	On-road Rule

**Summary of Maximum Cost-effectiveness & Years Effectiveness by Project Category**

<b>Policy No.</b>	<b>Project Category</b>	<b>Maximum C-E (\$/weighted ton)</b>	<b>Years Effectiveness</b>
22	Alternative Fuel Light-Duty Vehicles	250,000	3 years recommended, 4 years max
23	Reserved	Reserved	Reserved
24	Alternative Fuel Heavy-Duty Vehicles and Buses	250,000	3 years recommended, 4 years max
25	Alternative Fuel Bus Replacement	250,000	3 years recommended, 4 years max
26	Alternative Fuel Infrastructure	250,000	3 years recommended, 4 years max
27	Ridesharing Projects	90,000	2 years max
28 A-H	Shuttle/Feeder Bus Service – Existing	175,000; 200,000 for services in CARE Areas or PDAs	2 years max
28 I	Shuttle/Feeder Bus Service - Pilot	Year 1 - 200,000 Year 2 - 175,000	2 years max
28 I	Shuttle/Feeder Bus Service – Pilot in CARE Areas or PDAs	Year 1 - 500,000 Year 2 - 200,000 Year 3 - 175,000	2 years max
29	Bicycle Projects	250,000	From 3 to 10 years
30	Bay Area Bike Share	500,000	5 years max
31	Arterial Management	175,000	2 or 4 years
32	Smart Growth/Traffic Calming	175,000	10 years max

## Emission Reduction Inputs

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
<b>Ridesharing / Trip Reduction</b> Project Type = 5a-h, 8b, 9a-c, 11a, or 11b Worksheet = Trip Reduction FYE 17 Note: For ridesharing the default maximum number of vehicle trips reduced per day is 1% of target population.	<u><b>Ridesharing</b></u> <ul style="list-style-type: none"> <li># Years Effectiveness</li> <li># Trips/Day (1-way) eliminated [% of target population (# employees)]</li> <li>Days/Yr</li> <li>Trip Length (1-way)</li> <li># New Trips/Day (1-way) to access transit</li> <li>Days/Yr</li> <li>Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>Enter in Cost Effectiveness Inputs, up to 2 years</li> <li>Enter in Step 1-Column A, 1% of target population</li> <li>Enter in Step 1-Column B, 240 days (max.)</li> <li>Step 1-Column C, Default = 16 miles (1-way commute distance from MTC's Commute Profile)</li> <li>Step 2-Column A, Default = 50% of # Trips/Day Eliminated (Step 1-Column A)</li> <li>Enter in Step 2-Column B, same # as Step 1-Column B</li> <li>Enter in Step 2-Column C, Default = 3 miles</li> </ul>
	<u><b>School-Based Ridesharing</b></u> <ul style="list-style-type: none"> <li># Years Effectiveness</li> <li># Trips/Day (1-way) eliminated [% of target population (total # students)]</li> <li>Days/Yr</li> <li>Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>Enter in Cost Effectiveness Inputs, up to 2 yrs</li> <li>Step 1-Column A, No Default</li> <li>Enter in Step 1-Column B, 180 days (max.)</li> <li>Step 1-Column C, 1-3 miles</li> </ul>
	<u><b>Transit Incentive Campaigns</b></u> <ul style="list-style-type: none"> <li># Years Effectiveness</li> <li># Trips/Day (1-way) eliminated [% of target population]. Use survey data if available.</li> <li>Days/Yr</li> <li>Trip Length (1-way), based on routes accessed</li> <li># New Trips/Day (1-way) to access transit</li> <li>Days/Yr (new trips)</li> <li>Trip Length (1-way) for new trips</li> </ul>	<ul style="list-style-type: none"> <li>Enter in Cost Effectiveness Inputs, up to 2 yrs</li> <li>Step 1-Column A, No default</li> <li>Enter in Step 1-Column B, 90 days (max.) if # Trips/Day based on % of target population. If # Trips/Day based on participants, 240 days (max.)</li> <li>Step 1-Column C, No Default</li> <li>Step 2-Column A, 50% of # Trips/Day Eliminated (Step 1-Column A)</li> <li>Enter in Step 2-Column B - same as # days used in Step 1</li> <li>Step 2-Column C, Default = 3 miles</li> </ul>
	<u><b>Guaranteed Ride Home Programs</b></u> <ul style="list-style-type: none"> <li># Years Effectiveness</li> <li># Trips/Day (1-way) eliminated</li> <li>Days/Yr</li> </ul>	<ul style="list-style-type: none"> <li>Enter in Cost Effectiveness Inputs, up to 2 years</li> <li>Enter in Step 1-Column A, 0.2% of target population.</li> <li>Enter in Step 1-Column B, 240 days (Max.)</li> </ul>

**County Program Manager Fund Expenditure Plan Guidance FYE 2017**

	<ul style="list-style-type: none"> <li>• Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>• Step 1-Column C, Default = 16 miles</li> </ul>
	<p style="text-align: center;"><b><u>Transit Vehicle Signal Prioritization</u></b></p> <ul style="list-style-type: none"> <li>• # Years Effectiveness</li> <li>• # Trips/Day (1-way) eliminated</li> <li>• Days/Yr</li> <li>• Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Cost Effectiveness Inputs, 2 yrs</li> <li>• Step 1-Column A, No Default</li> <li>• Enter in Step 1-Column B, 240 days (max)</li> <li>• Step 1-Column C, No Default</li> <li>• Step 2-Column A, 50% of # Trips/Day Eliminated (Step 1-Column A)</li> <li>• Step 2-Column B, same as Step 1-Column B</li> <li>• Enter in Step 2-Column C, 3 miles</li> </ul>

**Emission Reduction Inputs**

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
<p><b>Bicycle Projects</b>  Project Type = 7a-j  Worksheet = Trip Reduction FYE 17  Methodology to estimate number of trips reduced for bike paths, lanes, &amp; routes based on:  - the type of facility (Class 1, 2, or 3)  - the length of the project segment  - the traffic volume (ADT) on the facility.  For Class 1 projects, use the ADT on the most appropriate parallel road.</p> <p>For gap closure projects (where project will close a gap between two existing segments of bikeway), use the length for the total facility.</p> <p>Note: the maximum number of vehicle trips reduced per day is 240. The Air District generally assumes that no bike project will reduce more than 240 vehicle trips per day.</p> <p>The Air District normally uses an average trip</p>	<p><b><u>Bicycle Projects (Paths, Lanes, Routes)</u></b></p> <ul style="list-style-type: none"> <li>• # Years Effectiveness  Class 1 bike path (or bike bridge)  Class 2 bike lane  Class 3 bike route  Class 4 cycle tracks or separated bikeways</li> <li>• # Trips/Day (1-way) eliminated (depends on length of project segment and ADT on project segment)  Class 1 &amp; Class 2 &amp; Class 4  ADT ≤ 12,000 vehicles per day    Class 1 &amp; Class 2 &amp; Class 4  ADT &gt; 12,000 and ≤ 24,000    Class 1 &amp; Class 2 &amp; Class 4  ADT &gt; 24,000 and ≤ 30,000  Maximum is 30,000.    Class 3 bike route or bicycle boulevard</li> <li>• Days/Yr</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Cost Effectiveness Inputs:  Not to exceed 10 years for Class 1 projects (trails/paths)  Not to exceed 7 years for Class 2, Class 3 and Class 4 projects</li> <li>• Enter in Step 1-Column A:    Length ≤ 1 mile = 0.4% ADT  Length &gt;1 and ≤ 2 miles = 0.6% ADT  Length &gt;2 miles = 0.8% ADT    Length ≤ 1 mile = 0.3% ADT  Length &gt; 1 and ≤ 2 miles = 0.45% ADT  Length &gt; 2 miles = 0.6% ADT    Length ≤ 1 mile = 0.25% ADT  Length &gt; 1 and ≤ 2 miles = 0.35% ADT  Length &gt; 2 miles = 0.45% ADT    Route ≤ 1 mile = 0.1% ADT  Route &gt; 1 and ≤ 2 miles = 0.15% ADT  Route &gt; 2 miles = 0.25% ADT</li> <li>• Enter in Step 1-Column B, 240 days</li> </ul>

County Program Manager Fund Expenditure Plan Guidance FYE 2017

length of 3 miles (one-way) for bicycle projects.	<ul style="list-style-type: none"> <li>• Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Step 1-Column C, 3 miles. (Not same as segment length.)</li> </ul>
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	<p><b><u>Bicycle Lockers &amp; Racks</u></b></p> <ul style="list-style-type: none"> <li>• # Years Effectiveness</li> <li>• # Trips/Day (1-way) eliminated</li> <li>• Days/Yr</li> <li>• Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Cost Effectiveness Inputs, 3 yrs</li> <li>• Enter in Step 1-Column A: Capacity of lockers x 2 trip/day Capacity of cages x 0.75 trips per day Capacity of racks x 0.5 trips per day</li> <li>• Enter in Step 1-Column B, 240 days</li> <li>• Enter in Step 1-Column C, 3 miles</li> </ul>
	<p><b><u>Bay Area Bike Share</u></b></p> <ul style="list-style-type: none"> <li>• # Years Effectiveness</li> <li>• # Trips/Day (1-way) eliminated</li> </ul> <p><b>Weekdays</b></p> <ul style="list-style-type: none"> <li>• Days/Yr</li> <li>• Trip Length (1-way)</li> </ul> <p><b>Weekends</b></p> <ul style="list-style-type: none"> <li>• Days/Yr</li> <li>• Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Cost Effectiveness Inputs, max. 5 yrs</li> <li>• Enter in Step 1-Column A: Number of bikes X 1.48 trips per day X 12% (actual vehicle trips replaced based on Shaheen research dated June 2015)</li> <li>• Enter in Step 1-Column B, 260 days</li> <li>• Enter in Step 1-Column C, 16 miles</li> <li>• Enter in Step 1-Column B, 105 days</li> <li>• Enter in Step 1-Column C, 3 miles</li> </ul>

## Emission Reduction Inputs

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
<b>Shuttles / Rail-Bus Integration / Transit Info</b> Project Type =6a-i, 10a, or 10b Worksheet = Trip Reduction FYE 17  <i>Step 2 calculates emissions from new trips generated.</i>  <i>When possible, emissions from shuttle vehicles should be based on the vehicle engine Executive Order. County Program Manager should consult with Air District staff for guidance.</i>  <i>For vans and shuttle vehicles 14,000 lbs. and lighter, use Step 3A.</i>	<u><b>Shuttle/Feeder Bus, Rail-Bus Integration, and Transit Information Systems</b></u> <ul style="list-style-type: none"> <li># Years Effectiveness # Trips/Day (1-way) eliminated trips. Trips only from riders who previously would have driven.</li> <li>Days/Yr eliminated trips</li> <li>Trip Length (1-way) eliminated trips. Average trip length that will be eliminated due to shuttle passengers taking train/ferry in conjunction with the shuttle.</li> <li># Trips/Day (1-way) new trips to access transit</li> <li>Days/Yr new trips</li> <li>Trip Length (1-way) new trips. Average trip length of shuttle passengers that drive from home to the BART/Caltrain station.</li> <li># Vehicles, Model Year: Number of vehicles with same model year</li> <li>Emission Std.: Emission Standard from list provided.</li> <li>Vehicle GVW: Weight Class from list provided.</li> </ul>	<ul style="list-style-type: none"> <li>Cost Effectiveness Inputs, up to 2 years</li> <li>Step 1-Column A, For on-going service, use survey results For new service, use 50% of daily seating capacity of vehicle * 67% (% single-occupancy vehicles (SOV) from MTC Commuter Profile)</li> <li>1-Column B, Enter number of operating days. Default =240 days/yr.</li> <li>Enter in Step 1-Column C, a survey-based distance, or, if no survey, 16 miles for shuttles and 35 miles for vanpools</li> <li>Step 2-Column A, Use survey data or, if none, a default is 50% of # Trips/Day Eliminated (Step 1-Column A)</li> <li>Enter in Step 2-Column B, same # as in Step 1-Column B.</li> <li>Enter in Step 2-Column C, a survey-based distance, or, if no survey, default is 3 miles for home-to-rail trips.</li> <li>Step 3A - Column A, no default.</li> <li>3A - Column B, no default.</li> <li>3A Column C, no default.</li> </ul>

## County Program Manager Fund Expenditure Plan Guidance FYE 2017

<p><i>For buses, use Step 3B.</i>  <i>If a vehicle does not match the factors provided, County Program Manager should consult with Air District staff.</i></p>	<ul style="list-style-type: none"> <li>• ROG, NO<sub>x</sub>, Exhaust PM<sub>10</sub>, and Total PM<sub>10</sub> Factors: enter factor from appropriate table provided on Emission Factors tab—CARB Table 2 for vehicles model year 2004 and after, or CARB Table 7 for model years 1995-2003.</li> <li>• CO<sub>2</sub> Factor: enter factor from CO<sub>2</sub> Table for Light- and Light Heavy-Duty Shuttles, on Emission Factors tab.</li> <li>• Total annual VMT = [length of shuttle/van trip (one-way)] X [# one-way trips per day] X [# days of service per year]. For all vehicles listed in Step 3A.</li> <li>• ROG, NO<sub>x</sub>, Exhaust PM<sub>10</sub>, Other PM<sub>10</sub> and CO<sub>2</sub> Factors: enter factor from Emissions for Buses Table provided on Emission Factors tab.</li> <li>• Total annual VMT = [length of shuttle/van trip (one-way)] X [# one-way trips per day] X [# days of service per year]. For all vehicles listed in Step 3B.</li> </ul>	<ul style="list-style-type: none"> <li>• 3A Column D through G, no default</li> <li>• 3A Column H, no default.</li> <li>• 3A Column I, no default.</li> <li>• Step 3B: Columns D through H, no default. Note that Step 3B uses Other PM<sub>10</sub>, not Total PM<sub>10</sub>.</li> <li>• 3B Column I, no default.</li> </ul>
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## Emission Reduction Inputs

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
<b>Arterial Management</b> Project Type = 8a Worksheet = Arterial Management FYE 17	<u><b>Arterial Management</b></u> <ul style="list-style-type: none"> <li>• # Years Effectiveness</li> <li>• Name of Arterial</li> <li>• Segment Length (miles)</li> <li>• Days/Yr.</li> <li>• Time Period</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Cost Effectiveness Inputs:                For signal timing/synchronization, 2 yrs or, with retiming required at 2 yrs, 4 yrs. Each project should include either 2- or 4-year segments, not both.</li> <li>• Column A: Name of the arterial and the direction of travel.</li> <li>• Enter under Column B the length of arterial over which speeds will be increased.</li> <li>• Enter under Column C the number of days per year over which the project would affect traffic. Default is 240 days.</li> <li>• Enter under Column D the time period over which the traffic volumes and speed will change (e.g., 4-7 PM). Include all the hours in a period that will benefit, not just the peak hour.</li> </ul>

County Program Manager Fund Expenditure Plan Guidance FYE 2017

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
	<ul style="list-style-type: none"> <li>Traffic Volume</li> <li>Traffic Speed without the Project</li> <li>Travel Speed with Project</li> </ul>	<ul style="list-style-type: none"> <li>Enter under Column E the traffic volume before the project for the corresponding Time Period and direction of travel that will make the stated speed change.</li> <li>Enter under Column F the average traffic speed along the length of the arterial before implementation of the project.</li> <li>Enter under Column G the average estimated traffic speed along the length of the arterial after implementation of the project. <i>Note: Maximum increase in speed is 25%.</i></li> </ul>
[Smart Growth]	<u>Smart Growth / Traffic Calming</u>	<ul style="list-style-type: none"> <li>Cost Effectiveness Inputs, 10 years max</li> <li>No other default assumptions for “smart growth” or traffic calming projects are available. Provide detailed explanations of any assumptions and calculations in the Notes and Assumptions tab.</li> </ul>

### Emission Reduction Inputs

**Alt-fuel Heavy-Duty Vehicles and Infrastructure**

Project Types = 1a, 1b, 1c, 1d, 1e, 2a, 2b, 2c, 2d, 2e, 3a, 3b, 3c, 3d, 3e, 3f, 12a, 12b, 12c

Worksheet = Heavy Duty Vehicle FYE 17

Input Data Needed	Default Assumptions
<ul style="list-style-type: none"> <li>Cost Effectiveness Inputs, # Years Effectiveness. Use separate workbook and Project # for each set of vehicles with different # Years Effectiveness or with different fuel types.</li> </ul>	<ul style="list-style-type: none"> <li>3 years is recommended - Not to exceed 4 years.</li> </ul>
<ul style="list-style-type: none"> <li>Column B, Unit #: A unique identifier. List each vehicle on a separate row.</li> </ul>	<ul style="list-style-type: none"> <li>Column B: No default</li> </ul>
<ul style="list-style-type: none"> <li>Columns C through E, Baseline Emission Rate: NO<sub>x</sub>, ROG, PM factors: See Moyer Table D-2a/b or D-6, based on your vehicle type, weight, and engine model year.</li> </ul>	<ul style="list-style-type: none"> <li>Columns C through E: For FYE 2017 alt-fuel heavy-duty vehicle projects, including urban buses, the baseline default is the Model Year 2010 emission standards.</li> </ul>
<ul style="list-style-type: none"> <li>Column F, Annual Fuel Use: Base on average fuel use over 2 years, and document with 2 years of records.</li> </ul>	<ul style="list-style-type: none"> <li>Column F: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column G, Fuel Consumption Factor: Moyer Table D-24</li> </ul>	<ul style="list-style-type: none"> <li>Column G: Most on-road engines are below 750 horsepower, thus the default value is 18.5.</li> </ul>
<ul style="list-style-type: none"> <li>Column H, Conversion Factor (g/mi to g/bhp-hr): Input a value only if Baseline Emission Rates (Columns C – E) are in g/mi and Fuel Basis is being used. Notice: enter data in this column or Column J, not both. Use Moyer Table D-28.</li> </ul>	<ul style="list-style-type: none"> <li>Column H: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column I, Annual VMT: Base on average VMT over 2 years, and document with 2 years of mileage records.</li> </ul>	<ul style="list-style-type: none"> <li>Column I: No default.</li> </ul>



County Program Manager Fund Expenditure Plan Guidance FYE 2017

Input Data Needed	Default Assumptions
<ul style="list-style-type: none"> <li>Column J, Conversion Factor (g/bhp-hr to g/mi): Input a value only if Baseline Emission Rates (Columns C – E) are in g/bhp-hr. Notice: enter data in this column <b>or</b> Column H, not both. Use Moyer Table D-28.</li> </ul>	<ul style="list-style-type: none"> <li>Column J: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column K, Percent operation in Air District: Only the operation within the Bay Area Air Quality Management District can be counted. Boundaries available from the Air District.</li> </ul>	<ul style="list-style-type: none"> <li>Column K: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Columns L through N, New Emission Rate: NO<sub>x</sub>, ROG, and PM: Use Executive Order values. Note: FEL engines are not eligible for TFCA funding. CARB certifies engines and provides the engine manufacturers with an Executive Order (EO) for each certified engine family. An example of an EO is shown at the end of this attachment. The EO includes general information about the certified engine such as engine family, displacement, horsepower rating(s), intended service class, and emission control systems. It also shows the applicable certification emission standards as well as the average emission levels measured during the actual certification test procedure. For the purpose of the TFCA Program, the certification emission <b>standards</b> are used to calculate emission reductions. The certification emission standards are shown in the row titled “(DIRECT) STD” under the respective “FTP” column headings for each pollutant. For instance, the Cummins 8.3 liter natural gas engine illustrated in the sample was certified to a combined oxides of nitrogen plus non-methane hydrocarbon (NO<sub>x</sub>+NMHC) emission standard of 1.8 g/bhp-hr, a carbon monoxide (CO) emission standard of 15.5 g/bhp-hr, and a particulate matter (PM) emission standard of 0.03 g/bhp-hr. In the case where an EO shows emission values in the rows labeled “AVERAGE STD” and/or “FEL”, the engine is certified for participation in an averaging, banking, and trading (AB&amp;T) program. AB&amp;T engines (i.e., all FEL-certified engines) <b>are not eligible</b> to participate in the TFCA Program for new vehicle purchase projects since emission benefits from an engine certified to an FEL level are not surplus emissions.</li> </ul>	<ul style="list-style-type: none"> <li>Columns L through N: For FYE 2017 heavy-duty vehicle projects, including urban buses, the new vehicle must be certified to <i>exceed</i> the Model Year 2010 standard of 0.2 g/bhp-hr of NO<sub>x</sub> and 0.01 g/bhp-hr of PM, which are the default values. Some exceptions apply.</li> </ul>
<ul style="list-style-type: none"> <li>Column O, Replacement Vehicle Cost: Must be supported by a quote for the new alt-fuel vehicle that exceeds standards.</li> </ul>	<ul style="list-style-type: none"> <li>Column O: No Default.</li> </ul>
<ul style="list-style-type: none"> <li>Column P, Must be supported by a quote for a new equivalent model vehicle that meets standards (for FYE 2017, the Model Year 2010 Standards).</li> </ul>	<ul style="list-style-type: none"> <li>Column P: No Default.</li> </ul>
<ul style="list-style-type: none"> <li>Column Q, Fuel Savings.</li> </ul>	<ul style="list-style-type: none"> <li>Column Q: Default value is 0%. For new hybrid vehicles, on a case-by-case basis, the Air District may approve another value, based on documented fuel savings relative to a non-hybrid vehicle.</li> </ul>
<ul style="list-style-type: none"> <li>Column R, Fuel Consumption Factor: Use Moyer Table D-24.</li> </ul>	<ul style="list-style-type: none"> <li>Column R: Most on-road engines are below 750 horsepower.</li> </ul>
<ul style="list-style-type: none"> <li>Column S, Conversion Factor (g/mi to g/bhp-hr): Enter a value only if New Emission Rates (Columns L – N) are in g/mi and Fuel Basis is being used. Notice: enter data in this column <b>or</b> Column T, not both. Use Moyer Table D-28.</li> </ul>	<ul style="list-style-type: none"> <li>Column S: No default.</li> </ul>


County Program Manager Fund Expenditure Plan Guidance FYE 2017

Input Data Needed	Default Assumptions
<ul style="list-style-type: none"> <li>Column T, Conversion Factor (g/bhp-hr to g/mi): Enter a value <b>only if</b> New Baseline Emission Rates (Columns L – N) are in g/bhp-hr. Notice: enter data in this column or Column S, not both. Use Moyer Table D-28.</li> </ul>	<ul style="list-style-type: none"> <li>Column T: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column Y, # Years Effectiveness: Same as in Cost Effectiveness Inputs.</li> </ul>	<ul style="list-style-type: none"> <li>Column Y: 3 years is recommended - 4 yrs max.</li> </ul>
<ul style="list-style-type: none"> <li>Column Z, Incremental Cost: The cost of the proposed vehicle minus the baseline vehicle.</li> </ul>	<ul style="list-style-type: none"> <li>Column Z: Automatically calculated.</li> </ul>
<ul style="list-style-type: none"> <li>Columns AB – AG, Emission Reductions. All reductions must be surplus to any regulatory, contractual, or other legally binding requirement. Note that if ROG values are not available for both the baseline and the proposed engine, ensure value is zero (0) for ROG, as no ROG emission reductions can be claimed.</li> </ul>	<ul style="list-style-type: none"> <li>Columns AB – AG. Calculated automatically. Enter zero (0) if a reduction cannot be claimed.</li> </ul>
<ul style="list-style-type: none"> <li>Column AM, TFCA Funding Amount: Amount of total TFCA funding. The column total must equal Total TFCA Cost from Cost-Effectiveness Inputs at top of worksheet.</li> </ul>	<ul style="list-style-type: none"> <li>Column AM: Cannot exceed Incremental Cost.</li> </ul>
<ul style="list-style-type: none"> <li>Column AP, Actual Weighted CE w/o CRF--Miles Basis (\$/ton). Cost-effectiveness based on emissions including weighted PM. <b>Must meet Policy Requirements.</b></li> </ul>	<ul style="list-style-type: none"> <li>Column AP: Calculated automatically.</li> </ul>
<ul style="list-style-type: none"> <li>Column AQ, Actual Weighted Contract CE w/o CRF--Fuel Basis (\$/ton). Cost-effectiveness based on emissions including weighted PM. <b>Must meet Policy Requirements.</b> Emissions and cost-effectiveness calculations <b>can only be based on fuel usage for the following vehicles:</b> <ul style="list-style-type: none"> <li>Utility vehicles in idling service</li> <li>Street sweepers</li> <li>Solid waste collection vehicles.</li> </ul> All other vehicles must use mileage basis. If using fuel-based calculations, usage must be based on two years of historical fuel usage documentation (e.g., fuel logs or purchase receipts).</li> </ul>	<ul style="list-style-type: none"> <li>Column AQ: Calculated automatically.</li> </ul>
<ul style="list-style-type: none"> <li>Column AS, Baseline CO<sub>2</sub> Factor Based on Mileage: Enter value from CO<sub>2</sub> Emission Factors Table for your fuel and vehicle type (e.g., Medium Heavy Duty Diesel is 1527 g/mi).</li> </ul>	<ul style="list-style-type: none"> <li>Column AS: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column AT, Proposed Engine CO<sub>2</sub> Factor Based on Mileage: Enter value from CO<sub>2</sub> Emission Factors Table for your fuel and vehicle type (e.g., Medium Heavy Duty CNG 1098 g/mi).</li> </ul>	<ul style="list-style-type: none"> <li>Column AT: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column AV, Baseline CO<sub>2</sub> Factor Based on Fuel Use: Enter value from CO<sub>2</sub> Emission Factors Table for your fuel type (e.g., Diesel is 10079 g/mi).</li> </ul>	<ul style="list-style-type: none"> <li>Column AV: 10079 g/mi.</li> </ul>
<ul style="list-style-type: none"> <li>Column AW, Proposed Engine CO<sub>2</sub> Factor Based on Fuel Use: Enter value from CO<sub>2</sub> Emission Factors Table for your fuel type (e.g., CNG is 7244 g/mi).</li> </ul>	<ul style="list-style-type: none"> <li>Column AW: No default.</li> </ul>

County Program Manager Fund Expenditure Plan Guidance FYE 2017

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
<b>Alt-fuel Vehicles and Infrastructure: Light-Duty and Light Heavy-Duty</b> Project Types = 4a, 4b, 4c, 4d, 4e, 12a, 12b, 12c Worksheet = LD & LHD Vehicle FYE 17	<ul style="list-style-type: none"> <li># Years Effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>3 years is recommended - 4 years max.</li> </ul>
	<ul style="list-style-type: none"> <li>Unit # / ID</li> </ul>	<ul style="list-style-type: none"> <li>List each vehicle separately.</li> </ul>
	<ul style="list-style-type: none"> <li>Incremental Cost</li> </ul>	<ul style="list-style-type: none"> <li>For new vehicles, must be based on two quotes—one for the new alt-fuel vehicle, and one for a new conventionally-fueled equivalent model that meets current emission standards.</li> </ul>
	<ul style="list-style-type: none"> <li>Current Standard and New Vehicle Standard</li> </ul>	<ul style="list-style-type: none"> <li>Enter in Columns E and F the standard that a vehicle is certified to, as shown on the CARB Executive Order.</li> </ul>
	<ul style="list-style-type: none"> <li>Cost-Effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>Column U, automatically calculated. Each vehicle must meet the Policy requirements for cost-effectiveness.</li> </ul>

## Sample CARB Executive Order for Heavy-Duty On-Road Engines

 <b>Cummins Inc.</b>	<b>EXECUTIVE ORDER A-021-0571-1</b> New On-Road Heavy-Duty Engines Page 1 of 2 Pages
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Pursuant to the authority vested in the Air Resources Board by Health and Safety Code Division 26, Part 5, Chapter 2; and pursuant to the authority vested in the undersigned by Health and Safety Code Sections 39515 and 39516 and Executive Order G-02-003;

**IT IS ORDERED AND RESOLVED:** The engine and emission control systems produced by the manufacturer are certified as described below for use in on-road motor vehicles with a manufacturer's GVWR over 14,000 pounds. Production engines shall be in all material respects the same as those for which certification is granted.

MODEL YEAR	ENGINE FAMILY	ENGINE SIZES (L)	FUEL TYPE <sup>1</sup>	STANDARDS & TEST PROCEDURE	INTENDED SERVICE CLASS <sup>2</sup>	ECS & SPECIAL FEATURES <sup>3</sup>	DIAGNOSTIC <sup>6</sup>
2012	CCEXH0729XAD	11.9	Diesel	Diesel	UB	DDI, TC, CAC, ECM, EGR, OC, SCR-U, PTOX	EMD
PRIMARY ENGINE'S IDLE EMISSIONS CONTROL			ADDITIONAL IDLE EMISSIONS CONTROL <sup>5</sup>				
Exempt			N/A				
ENGINE (L)		ENGINE MODELS / CODES (rated power, in hp)					
11.9		ISX11.9 385 / 3865;FR20350 (379); ISX12 385 / 3865;FR20350 (379)					

<sup>1</sup> = not applicable; GVWR=gross vehicle weight rating; 13 CCR xyz=Title 13, California Code of Regulations, Section xyz; 40 CFR 86.abc=Title 40, Code of Federal Regulations, Section 86.abc; L=liter; hp=horsepower; kw=kilowatt; hr=hour;  
<sup>2</sup> CNG/LNG=compressed/liquefied natural gas; LPG=liquefied petroleum gas; E85=85% ethanol fuel; MF=multi fuel a.k.a. BF=bi fuel; DF=dual fuel; FF=flexible fuel;  
<sup>3</sup> L/M/H HDD=light/medium/heavy heavy-duty diesel; UB=urban bus; HDO=heavy duty Otto;  
<sup>4</sup> ECS=emission control system; TWC/O=C=three-way/oxidizing catalyst; NAC=NOx adsorption catalyst; SCR-U / SCR-N=selective catalytic reduction - urea / - ammonia; WU (prefix) =warm-up catalyst; DPF=diesel particulate filter; PTOX=periodic trap oxidizer; HO2S/O2S=heated/oxygen sensor; HAFS/AFS=heated/air-fuel-ratio sensor (a.k.a., universal or linear oxygen sensor); TBI=throttle body fuel injection; SFV/MFI=sequential/multi port fuel injection; DGI=direct gasoline injection; GCARB=gaseous carburetor; IDI/DDI=indirect/direct diesel injection; TC/SC=turbo/super charger; CAC=charge air cooler; EGR / EGR-C=exhaust gas recirculation / cooled EGR; PAIR/AIR=pulsed/secondary air injection; SPL=slope puff limiter; ECM/PCM=engine/powertrain control module; EM=engine modification; 2 (prefix)=parallel; (2) (suffix)=in series; AMOX=ammonia oxidation catalyst  
<sup>5</sup> ESS=engine shutdown system (per 13 CCR 1956.8(a)(6)(A)(1)); 30g=30 g/hr NOx (per 13 CCR 1956.8(a)(6)(C)); APS=internal combustion auxiliary power system; ALT=alternative method (per 13 CCR 1956.8(a)(6)(D)); Exempt=exempted per 13 CCR 1956.8(a)(6)(B) or for CNG/LNG fuel systems; N/A=not applicable (e.g., Otto engines and vehicles);  
<sup>6</sup> EMD=engine manufacturer diagnostic system (13 CCR 1971); OBD=on-board diagnostic system (13 CCR 1971.1);

Following are: 1) the FTP exhaust emission standards, or family emission limit(s) as applicable, under 13 CCR 1956.8; 2) the EURO and NTE limits under the applicable California exhaust emission standards and test procedures for heavy-duty diesel engines and vehicles (Test Procedures); and 3) the corresponding certification levels, for this engine family. "Diesel" CO, EURO and NTE certification compliance may have been demonstrated by the manufacturer as provided under the applicable Test Procedures in lieu of testing. (For flexible- and dual-fueled engines, the CERT values in brackets [ ] are those when tested on conventional test fuel. For multi-fueled engines, the STD and CERT values for default operation permitted in 13 CCR 1956.8 are in parentheses.).

in g/bhp-hr	NMHC		NOx		NMHC+NOx		CO		PM		HCHO	
	FTP	EURO	FTP	EURO	FTP	EURO	FTP	EURO	FTP	EURO	FTP	EURO
STD	0.14	0.14	0.20	0.20	*	*	15.5	15.5	0.01	0.01	*	*
FEL	*	*	*	*	*	*	*	*	*	*	*	*
CERT	0.04	0.01	0.12	0.09	*	*	1.1	0.00	0.004	0.002	*	*
NTE	0.21		0.30		*		19.4		0.02		*	

<sup>4</sup> g/bhp-hr=grams per brake horsepower-hour; FTP=Federal Test Procedure; EURO=Euro III European Steady-State Cycle, including RMCSET=ram mode cycle supplemental emissions testing; NTE=Not-to-Exceed; STD=standard or emission test cap; FEL=family emission limit; CERT=certification level; NMHC/HC=non-methane/hydrocarbon; NOx=oxides of nitrogen; CO=carbon monoxide; PM=particulate matter; HCHO=formaldehyde. (Rev.: 2007-02-26)

**BE IT FURTHER RESOLVED:** Certification to the FEL(s) listed above, as applicable, is subject to the following terms, limitations and conditions. The FEL(s) is the emission level declared by the manufacturer and serves in lieu of an emission standard for certification purposes in any averaging, banking, or trading (ABT) programs. It will be used for determining compliance of any engine in this family and compliance with such ABT programs.

**BE IT FURTHER RESOLVED:** For the listed engine models the manufacturer has submitted the materials to demonstrate certification compliance with 13 CCR 1965 (emission control labels), 13 CCR 1971 (engine manufacturer diagnostic) and 13 CCR 2035 et seq. (emission control warranty).

Engines certified under this Executive Order must conform to all applicable California emission regulations.

The Bureau of Automotive Repair will be notified by copy of this Executive Order.

This Executive Order hereby supersedes Executive Order A-021-057 dated December 7, 2011.

Executed at El Monte, California on this 17 day of April 2012.

  
Annette Hebert, Chief  
Mobile Source Operations Division



# Memorandum

5.5

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

**DATE:** February 1, 2016

**SUBJECT:** Alameda County Three Year Project Initiation Document Work Plan

**RECOMMENDATION:** Approve Three-Year Project Initiation Document (PID) Work Plan for Alameda County.

## Summary

Caltrans has requested the Alameda CTC to update the Three-Year PID Work Plan for Alameda County (FYs 2016-17, 2017-18 and 2018-19).

## Background

A Project Study Report / Project Initiation Document (PSR/PID) is a document that details a scope, cost, and schedule of a proposed project and is required to be completed prior to receiving programming in the STIP. Caltrans may act as the lead agency or provide quality assurance / oversight services for projects wherein local agencies act as the lead agency.

Caltrans has requested the Alameda CTC to update the Three-Year PID Work Plan for Alameda County (FY 2016-17, 2017-18 and 2018-19) (Attachment A). Per Caltrans' Non-SHOPP Workload Guidance, any PSR/PID work that needs Caltrans oversight must be listed in this three-year Work Plan.

Similar to prior years, local agencies that wish to complete a PSR/PID document would need to execute a cooperative agreement and reimburse Caltrans for their oversight services. The only exception is if the proposed project is entirely funded using state resources.

In addition to new projects, the FY 2016-17 list also includes projects carried over from FY 2015-16. Project sponsors would be provided an opportunity to re-prioritize projects when this list is revisited in the upcoming fiscal years.

A final list will be transmitted to Caltrans upon approval by the Commission.

**Fiscal Impact:** There is no fiscal impact at this time.

**Attachments:**

- A. Draft Alameda County Three-Year PID Work Plan (FYs 2016-17, 2017-18 and 2018-19)

**Staff Contact**

[James O'Brien](#), Interim Deputy Director of Programming and Allocations

[Vivek Bhat](#), Senior Transportation Engineer

## DRAFT - ALAMEDA COUNTY Three-Year PID Work Plan( FY2016/17, 17/18, 18/19)

Index #	SHA or R (Reimbursement)	Executed Reimbursement Agreement (Y/N)	Agreement Number	Lead/QA/IQA	Route	Begin Postmile	End Postmile	Purpose & Need	Improvement Description	Location	RTP Project Number	Initiation Date (MM/DD/YYYY)	Estimated PID Completion Date (MM/YYYY)	Capital Cost (\$M)	Support Cost (\$M)	Type of PID	Project Sponsor
PROPOSED FY 2016/17 WORK PLAN (includes Prior Years)																	
1	Reim	Y	04-2516	IQA	880	30.9	31.5	Bike Ped	Lake Merritt Channel Bicycle Pedestrian Bridge	In Oakland, below I880 between the San Francisco Bay Trail and Laney College	240227	TBD	06/2014	18.0	4.0	PEER	City of Oakland
2	Reim	Y	04-2465	IQA	580	13.5	19.9	Improve traffic operations	BART to Livermore	From Dublin BART Station to Isabel I/C in Livermore	240196	05/2015	08/2016	1200.0	360.0	PSR-PDS	BART
3	Reim	N	TBD	IQA	84 680	18.0	19.0	Improve traffic operations	Improve Interchange for better operations	In Sunol SR-84 at I-680	240062	TBD	06/2016	80.0	10.0	PSR-PDS	ACTC
4	Reim	N	TBD	IQA	580	20.0	21.0	Improve traffic operations	I580 /680 Interchange Improvements	Tri Valley	22765	TBD	06/2017	150.0	20.0	PSR-PDS	ACTC
5	Reim	N	TBD	IQA	580	39.8	39.8	Bike Ped	Laurel, Mills, Maxwell Park and Seminary (LAMMPS) Active Transportation Project - reconf/signal alt. @ freeway off ramp	MacArthur Blvd. from High street to Richards Road, undercrossing I-580 freeway.	240381	TBD	06/2016	3.6	0.6	PSR-PDS	City of Oakland
6	Reim	N	TBD	IQA	880	27.6	27.7	Improve Traffic Operations	new/realigned local streets in vicinity of I-880/High ramps	Oakland	230170	TBD	06/2016	8.0	2.0	PSR-PDS	City of Oakland
7	Reim	N	TBD	IQA	123	1.9	5.2	Multi-Modal Corridor Improvements	Circulation and safety improvements including pedestrian improvements, extension of the San Pablo Ave cycle track, and ITS improvements	Along San Pablo Avenue from the Albany city limits in the north to the Oakland city limits in the south.	240718	1/1/2017	06/2017	20.0	6.0	PSR-PDS	ACTC
8	Reim	N	TBD	IQA	13	10.7	13.9	Multi-Modal Corridor Improvements	Bicycle and pedestrian crossing improvements, vehicular improvements and ITS improvements	Along Ashby Avenue from San Pablo Avenue to California Street and signal improvements between 6th and Domingo	240202	1/1/2017	06/2017	2.0	0.5	PSR-PDS	ACTC

# DRAFT - ALAMEDA COUNTY Three-Year PID Work Plan( FY2016/17, 17/18, 18/19)

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PROPOSED FY 2017/18 WORK PLAN																	
9	Reim	N	TBD	IQA	185	0.0	2.9	Streetscape	Streetscape improvement (Phase II)	East 14th St from 162nd Ave to SR-238 O/C	TBD	TBD	06/2018	7.5	1.5	PSR-PDS	Alameda County Public Works Agency
10	Reim	N	TBD	IQA	185	1.2	3.7	Streetscape	Streetscape improvement (Phase III)	Mission Blvd SR-238 O/C to Hayward City Limits	TBD	TBD	06/2018	6.5	1.5	PSR-PDS	Alameda County Public Works Agency
11	Reim	N	TBD	IQA	262	0.0	1.1	Improve traffic operations	I-680 I/C Improvement. Rt 262 roadway iprovement, and Rt 262/Warm Sprongs Blvd Intersection Improvement	Rte 262 (Mission Blvd)	230110	TBD	06/2018	10.0	2.0	PSR-PDS	ACTC
12	Reim	N	TBD	IQA	238 580 880	Var	Var	Improve traffic operations	Integrated Corridor Mobility (ICM) Program and adaptive ramp metering	Various	230091	TBD	06/2018	12.0	3.0	PSR-PDS	ACTC
13	Reim	N	TBD	IQA	680	Var	Var	Improve traffic operations	Conversion of access from limited access to near continuous	Between SR84 and SR262	TBD	TBD	01/2017	18.0	2.5	PSR-PR	ACTC
14	Reim	N	TBD	IQA	80	Var	Var	Improve traffic operations	Conversion of HOV lanes to Express Lanes	SFOBB approach on I-80, I-880 & I-580; SFOBB Direct Connector in Oakland to SR-4;	230656 230657 240741	01/2016	01/2018	70.2	19.7	PSR-PDS	ACTC MTC CCTA



## DRAFT - ALAMEDA COUNTY Three-Year PID Work Plan( FY2016/17, 17/18, 18/19)

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<b>PROPOSED FY 2018/19 WORK PLAN</b>																	
15	Reim	N	TBD	IQA	80	3.5	4.0	Improve traffic operations	Widen I-80 Eastbound Powell Street Off-ramp	Emeryville	230108	TBD	06/2019	3.0	1.0	PSR-PDS	City of Emeryville
16	Reim	N	TBD	IQA	80	4.6	4.6	Improve multi-modal traffic operations	Reconstruct Ashby Avenue Interchange on I-80	Emeryville	240318	TBD	01/2019	46.3	5.6	PSR-PDS	City of Emeryville
17	Reim	N	TBD	IQA	92	R4.9	R5.3	Improve traffic operations	Industrial Blvd I/C reconstruction	Hayward	TBD	TBD	06/2019	4.5	1.5	PSR-PDS	City of Hayward
18	Reim	N	TBD	IQA	92	R4.1	R4.9	Improve traffic operations	Clawiter I/C modification	Hayward	21093	TBD	06/2019	45.0	7.0	PSR-PDS	City of Hayward
19	Reim	N	TBD	IQA	238	10.5	11.1	Improve traffic operations	Operational Improvements & Safety	SR-238( Mission Blvd Improvements in the vicinity of the East West Connector Project)	94506	TBD	06/2019	12.0	3.0	PSR-PDS	ACTC
20	Reim	N	TBD	IQA	238	16.3	16.7	Improve traffic operations	Widen connector to NB 880	San Leandro	TBD	TBD	06/2019	100.0	22.0	PSR-PDS	ACTC
21	Reim	N	TBD	IQA	580	30.9	36.34	Noise Mitigation	Construct Noise Barrier	Along I-580 Between 106th Ave. and Peralta Oaks Ct. - Westbound traffic side	230094	TBD	06/2019	10.0	2.0	NBSSR	City of Oakland
22	Reim	N	TBD	IQA	580	39.8	40.1	Noise Mitigation	Construct Noise Barrier	Along I-580 between MacArthur Blvd. and Kingsland Place in Oakland	230094	TBD	06/2019	10.0	2.0	NBSSR	City of Oakland
23	Reim	N	TBD	IQA	580	9.2	10.2	Improve traffic operations	I/C modification	Vasco Rd I/C in Livermore	21100	TBD	06/2019	27.5	5.0	PSR-PDS	City of Livermore
24	Reim	N	TBD	IQA	580	R29.4	R31.4	Improve traffic operations	Ramp modifications Strobbridge/Castro Valley I/C	Strobbridge/Castro Valley	TBD	TBD	06/2019	20.0	2.0	PSR-PDS	Alameda County Public Works Agency
25	Reim	N	TBD	IQA	680	R11.0	R21.8	Improve traffic operations	NB and SB HOV/HOT lane from Alcosta Blvd. to SR-84	I-680 between SR-84 Contra Costa County Line	230683	TBD	06/2019	310.0	50.0	PSR-PDS	ACTC
26	Reim	N	TBD	IQA	880	14.1	14.8	Improve traffic operations	Industrial Parkway West I/C	Hayward	230053	TBD	06/2019	36.0	5.0	PSR-PDS	City of Hayward ACTC

# DRAFT - ALAMEDA COUNTY Three-Year PID Work Plan( FY2016/17, 17/18, 18/19)

Index #	SHA or R (Reimbursement)	Executed Reimbursement Agreement (Y/N)	Agreement Number	Lead/QA/IQA	Route	Begin Postmile	End Postmile	Purpose & Need	Improvement Description	Location	RTP Project Number	Initiation Date (MM/DD/YYYY)	Estimated PID Completion Date (MM/YYYY)	Capital Cost (\$M)	Support Cost (\$M)	Type of PID	Project Sponsor
PROPOSED FY 2018/19 WORK PLAN (continued)																	
27	Reim	N	TBD	IQA	880	17.6	18.3	Improve traffic operations	Add I-880 NB & SB auxiliary lanes Paseo Grande St. I/C to Winton I/C	From West A St. I/C to Winton I/C in Hayward	230052	TBD	06/2019	27.5	5.0	PSR-PDS	City of Hayward ACTC
28	Reim	N	TBD	IQA	880	13.7	14.5	Improve traffic operations	Add I-880 NB & SB auxiliary lanes Whipple Road to Industrial Pkwy West	From Whipple Road to Industrial Pkwy West, Hayward	230054	TBD	06/2019	15.0	4.5	PSR-PDS	City of Hayward ACTC
29	Reim	N	TBD	IQA	880	16.7	18.2	Improve traffic operations	Winton I/C reconstruction	Winton Ave. Hayward	230052	TBD	06/2019	34.0	5.0	PSR-PDS	City of Hayward
30	Reim	N	TBD	IQA	880	13.0	14.2	Improve traffic operations	I-880 / Whipple Road Interchange	Union City	TBD	TBD	06/2019	34.0	5.0	PSR-PDS	Union City/ Hayward/ ACTC
31	Reim	N	TBD	IQA	880	20.3	25.5	Improve traffic operations	Extend NB HOV /HOT lanes	From Hacienda to north of Washington and north of Washington to Hegenberger in San Leandro & Alameda County	230088 240741	07/2016	06/2019	170.0	45.0	PSR-PDS	ACTC MTC
32	Reim	N	TBD	IQA	880	20.2	20.8	Improve traffic operations	Washington to Lewelling I/C reconstruction	San Leandro	TBD	TBD	06/2019	34.0	5.0	PSR-PDS	ACTC
33	Reim	N	TBD	IQA	880	18.0	18.6	Improve traffic operations	West A St. I/C reconstruction	West A Street, Hayward	230047	TBD	06/2019	22.0	5.0	PSR-PDS	City of Hayward ACTC
34	Reim	N	TBD	IQA	880	10.4	13.0	Improve traffic operations	I-880 auxiliary lanes, Dixon Landing to Alvarado-Niles	Fremont, Newark, Union City	TBD	TBD	06/2019	20.0	5.0	PSR-PDS	City of Hayward ACTC
35	SHA	N	TBD	IQA	80	6.3	6.8	Improve traffic operations	I/C reconfiguration	Gilman St I/C in Berkeley -Pedestrian Bridge	21144	TBD	06/2019	8.0	2.2	PSR-PDS	City of Berkeley ACTC
36	Reim	N	TBD	IQA	680	15.3	15.3	Improve traffic operations	I/C reconfiguration	Sunol Boulevard I/C in Pleasanton	TBD	TBD	05/2019	4.5	1.5	PSR-PDS	City of Pleasanton
37	Reim	N	TBD	IQA	580	18.0	18.0	Improve traffic operations	I/C reconfiguration upgrade	Fallon Road / El Charo Road I/C @ I-580	TBD	TBD	06/2019	18.0	4.0	PSR-PDS	City of Dublin /Pleasanton /Livermore

DRAFT - ALAMEDA COUNTY Three-Year PID Work Plan( FY2016/17, 17/18, 18/19)

Implementing Agency
City of Oakland
BART
ACTC
ACTC
City of Oakland
City of Oakland
ACTC/ City of Berkeley
ACTC

DRAFT - ALAMEDA COUNTY Three-Year PID Work Plan( FY2016/17, 17/18, 18/19)

Implementing Agency
Alameda County Public Works Agency
Alameda County Public Works Agency
ACTC
ACTC
ACTC
ACTC MTC CCTA

DRAFT - ALAMEDA COUNTY Three-Year PID Work Plan( FY2016/17, 17/18, 18/19)

Implementing Agency
City of Emeryville
City of Emeryville
City of Hayward
City of Hayward
ACTC
ACTC
City of Oakland
City of Oakland
City of Livermore
Alameda County Public Works Agency
ACTC
City of Hayward ACTC

DRAFT - ALAMEDA COUNTY Three-Year PID Work Plan( FY2016/17, 17/18, 18/19)

Implementing Agency
ACTC
ACTC
City of Hayward
ACTC
ACTC MTC
ACTC
ACTC
ACTC Caltrans
City of Berkeley ACTC
City of Pleasanton
City of Dublin



# Memorandum

5.6

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

**DATE:** February 1, 2016

**SUBJECT:** Proposition 1B Transit System Safety, Security and Disaster Response Account (TSSSDRA) Funds

**RECOMMENDATION:** (1) Adopt Resolution No. 16-003 which authorizes the execution of Grant Assurance documents for the TSSSDRA Program and appoints the Executive Director or designee as the Alameda CTC's authorized agent, to execute the Grant Assurances, grant applications, funding agreements, reports or any other documents necessary for project funding and TSSSDRA program compliance. (2) Authorize the Executive Director, or his designee, to submit project applications requesting allocations for FY 2015-16 TSSSDRA funds.

## Summary

Section 8879.23 of the California Government Code creates the Highway Safety, Traffic Reduction, Air Quality and Port Security Fund of 2006 (Proposition 1B) in the State Treasury. Section 8879.23(h) directs that \$1 billion be deposited in the Transit System Safety, Security and Disaster Response Account (TSSSDRA). The State Controller's Office has recently released a list of allocations for eligible agencies for the Proposition 1B TSSSDRA program. The Alameda CTC's FY 2015-16 allocation from this program is \$38,826 and will be allocated for the Altamont Corridor Express (ACE) service within Alameda County. The allocations for ACE are made available through the Alameda CTC, whereas agencies such as AC Transit and BART receive their allocations directly.

## Background

Proposition 1B, approved by California voters on November 7, 2006, includes a program of funding in the amount of \$1 billion to be deposited in the Transit System Safety, Security and Disaster Response Account (TSSSDRA). The State Controller's Office has recently released a list of allocations for eligible agencies for the Proposition 1B TSSSDRA program administered by the California Governor's Office of Emergency Services (Cal OES). The Alameda CTC's FY 2015-16 allocation from this program is \$38,826 and will be allocated for the Altamont Corridor Express (ACE) service within Alameda County. The allocations for ACE are made available through the Alameda CTC, whereas agencies such as AC Transit and BART receive their allocations directly.

Eligible project types include transit capital projects that provide increased protection against a security or safety threat and projects that increase the capacity of transit operators to prepare for disaster response transportation systems that can move people, goods, emergency personnel and equipment in the aftermath of a disaster.

The program guidelines released by Cal OES state that "Applications to Cal OES for projects seeking funds pursuant to GC Section 8879.58(a)(2) and 8879.58(a)(3) must be submitted through and approved by the appropriate County transportation commission". Projects submitted for funding will be reviewed and approved in two phases.

#### Phase I

Eligible applicants are required to submit Investment Justifications (IJ) to Cal OES.

#### Phase II

Cal OES shall review the information submitted by project sponsors to determine if projects are compliant with the program requirements. Upon final project approval, sponsors shall be issued a Notice of Project Eligibility (NOPE) letter. The NOPE will include project milestones, audit requirements, program monitoring requirements, reporting requirements and directions to complete the Cal OES Financial Management Forms Workbook (FMFW). Upon receipt of the NOPE the agency has up to six weeks to complete and submit all supporting application documents. The supporting documents include the FMFW, a certified copy of the Alameda CTC Resolution No. 16-003 (Attachment A) and the signed original Grant Assurances (Attachment B).

San Joaquin Regional Rail Commission (SJRRRC) staff has proposed FY 2015-16 funds (\$38,826) be assigned to the ACE Electronic Fare Collection (eTicketing) project. The eTicketing will require registered users and provide a real-time passenger manifest for active trains able to be accessed remotely, in real-time, by both SJRRRC staff, law enforcement, and first responders. SJRRRC had assigned the FYs 2012-13, 2013-14 and 2014-15 TSSSDRA funds to the eTicketing project.

It is recommended the Commission authorize the Executive Director, or his designee, to submit Investment Justifications and project applications requesting allocations for FY 2015-16 TSSSDRA funds.

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

#### **Attachments**

- A. Draft Alameda CTC Resolution No.16-003
- B. Grant Assurances

#### **Staff Contact**

[James O'Brien](#), Interim Deputy Director of Programming and Allocations

[Vivek Bhat](#), Senior Transportation Engineer



**ALAMEDA COUNTY TRANSPORTATION COMMISSION****Resolution # 16-003**

**Commission Chair**  
Vice Mayor Rebecca Kaplan,  
City of Oakland

**Commission Vice Chair**  
Mayor Bill Harrison,  
City of Fremont

**AC Transit**  
Director Elsa Ortiz

**Alameda County**  
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Mayor Margaret Fujjoka

**City of Pleasanton**  
Mayor Jerry Thorne

**City of San Leandro**  
Mayor Pauline Cutter

**City of Union City**  
Mayor Carol Dutra-Vernaci

**Executive Director**  
Arthur L. Dao

**Authorization for Execution of the Grant Assurances Documents for the Transit System Safety, Security & Disaster Response Account Bond Program  
(FY2015/16 – ACE Electronic Fare Collection Project)**

**WHEREAS**, the Highway Safety, Traffic Reduction, Air Quality, and Port Security Bond Act of 2006 authorizes the issuance of general obligation bonds for specified purposes, including, but not limited to, funding made available for capital projects that provide increased protection against security and safety threats, and for capital expenditures to increase the capacity of transit operators to develop disaster response transportation systems; and

**WHEREAS**, the California Governor's Office of Emergency Services (Cal OES) administers such funds deposited in the Transit System Safety, Security, and Disaster Response Account under the California Transit Security Grant Program (CTSGP ); and

**WHEREAS**, the Alameda County Transportation Commission ("Alameda CTC") is eligible to receive CTSGP funds; and

**WHEREAS**, the Alameda CTC will apply for FY 2015/16 CTSGP funds in an amount up to \$38,826 for the Electronic Fare Collection Project to enhance and expand the functionality and reliability of the San Joaquin Regional Rail Commission's fare collection system; and

**WHEREAS**, Alameda CTC recognizes that it is responsible for compliance with all Cal OES CTSGP grant assurances, and state and federal laws, including, but not limited to, laws governing the use of bond funds; and

**WHEREAS**, Cal OES requires Alameda CTC to complete and submit a Governing Body Resolution for the purposes of identifying agent(s) authorized to act on behalf of Alameda CTC to execute actions necessary to obtain CTSGP funds from Cal OES and ensure continued compliance with Cal OES CTSGP assurances, and state and federal laws.

**NOW, THEREFORE, BE IT RESOLVED** by the Board of the Alameda CTC that the Executive Director, and/or his Designee, is hereby authorized to execute for and on behalf of Alameda CTC, a public entity established under the laws of the State of California, any actions necessary for the purpose of obtaining

financial assistance provided by the California Governor's Office of Emergency Services under the CTSGP.

**DULY PASSED AND ADOPTED** by the Alameda County Transportation Commission at the regular meeting of the Board held on Thursday, February 25, 2016 in Oakland, California, by the following votes:

**AYES:**

**NOES:**

**ABSTAIN:**

**ABSENT:**

SIGNED:

ATTEST:

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Rebecca Kaplan  
Chair, Alameda CTC

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Vanessa Lee  
Clerk of the Commission

Grant Assurances

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**California Transit Security Grant Program  
California Transit Assistance Fund**Name of Applicant: Alameda County Transportation CommissionGrant Cycle: FY 2015-16 Grant Number: \_\_\_\_\_Address: 1111 Broadway, Suite 800City: Oakland State: CA Zip Code: 94607Telephone Number: ( 510 ) 208-7400E-Mail Address: contact@alamedactc.org

As the duly authorized representative of the applicant, I certify that the applicant named above:

1. Has the legal authority to apply for Transit System Safety, Security, and Disaster Response Account funds, and has the institutional, managerial and financial capability to ensure proper planning, management and completion of the grant provided by the State of California and administered by the California Governor's Office Emergency Services (Cal OES).
2. Will assure that grant funds are only used for allowable, fair, and reasonable costs.
3. Will give the State of California generally and Cal OES in particular, through any authorized representative, access to and the right to examine all paper or electronic records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or Cal OES directives.
4. Will provide progress reports and other information as may be required by Cal OES.
5. Will initiate and complete the work within the applicable timeframe after receipt of Cal OES approval.
6. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain for themselves or others, particularly those with whom they have family, business or other ties.
7. Will comply with all California and federal statutes relating to nondiscrimination. These include but are not limited to:

- a. Title VI of the Civil Rights Act of 1964 (P.L. 88-352), as amended, which prohibits discrimination on the basis of race, color or national origin;
  - b. Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683 and 1685-1686), which prohibits discrimination on the basis of sex;
  - c. Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §§ 794) which prohibits discrimination on the basis of handicaps;
  - d. The Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107) which prohibits discrimination on the basis of age;
  - e. The Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse;
  - f. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
  - g. Sections 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290dd-2), as amended, relating to confidentiality of alcohol and drug abuse patient records;
  - h. Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§ 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing;
  - i. Any other nondiscrimination provisions in the specific statute(s) under which application for federal assistance is being made; and
  - j. The requirements on any other nondiscrimination statute(s) which may apply to the application.
8. Will comply, if applicable, with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
9. Will comply with applicable environmental standards which may be prescribed pursuant to California or federal law. These may include, but are not limited to, the following:
- a. California Environmental Quality Act. California Public Resources Code Sections 21080-21098. California Code of Regulations, Title 14, Chapter 3 Sections 15000-15007;
  - b. Institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514;
  - c. Notification of violating facilities pursuant to EO 11738;
  - d. Protection of wetlands pursuant to EO 11990;
  - e. Evaluation of flood hazards in floodplains in accordance with EO 11988;
  - f. Assurance of project consistency with the approved state management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§ 1451 et seq.);
  - g. Conformity of federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§ 7401 et seq.);
  - h. Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and

- i. Protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
10. Will comply, if applicable, with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§ 1271 et. seq.) related to protecting components or potential components of the national wild and scenic rivers system.
11. Will assist Cal OES, as appropriate, in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §§ 470), EO 11593 (identification and preservation of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§ 469a-1 et seq).
12. Will comply with Standardized Emergency Management System requirements as stated in the California Emergency Services Act, Gov Code §§ 8607 et seq. and CCR Title 19, Sections 2445, 2446, 2447 and 2448.
13. Will:
  - a. Promptly return to the State of California all the funds received which exceed the approved, actual expenditures as accepted by Cal OES;
  - b. In the event the approved amount of the grant is reduced, the reimbursement applicable to the amount of the reduction will be promptly refunded to the State of California; and
  - c. CTSGP-CTAF funds must be kept in a separate interest bearing account. Any interest that is accrued must be accounted for and used towards the approved Prop1B project approved by Cal OES.
14. Will comply, if applicable, with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the nineteen statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
15. Agrees that equipment acquired or obtained with grant funds:
  - a. Will be made available under the California Disaster and Civil Defense Master Mutual Aid Agreement in consultation with representatives of the various fire, emergency medical, hazardous materials response services, and law enforcement agencies within the jurisdiction of the applicant;
  - b. Will be made available pursuant to applicable terms of the California Disaster and Civil Defense Master Mutual Aid Agreement and deployed with personnel trained in the use of such equipment in a manner consistent with the California Law Enforcement Mutual Aid Plan or the California Fire Services and Rescue Mutual Aid Plan.
16. Will comply, if applicable, with Subtitle A, Title II of the Americans with Disabilities Act (ADA) 1990.

17. Will comply with all applicable requirements, and all other California and federal laws, executive orders, regulations, program and administrative requirements, policies and any other requirements governing this program.
18. Understands that failure to comply with any of the above assurances may result in suspension, termination or reduction of grant funds.
  - a. The applicant certifies that it and its principals:
    1. Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of federal benefits by a state or federal court, or voluntarily excluded from covered transactions by any federal department or agency;
    2. Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
    3. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and (d) have not within a three-year period preceding this application had one or more public transactions (federal, state, or local) terminated for cause or default; and where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.
19. Will retain records for thirty-five years after notification of grant closeout by the State.
20. Will comply with the audit requirements set forth in the Office of Management and Budget (OMB) Circular A-133, "Audit of States, Local Governments and Non-Profit Organizations."
21. Grantees and subgrantees will use their own procurement procedures which reflect applicable state and local laws and regulations.
22. Grantees and subgrantees will comply with their own contracting procedures or with the California Public Contract Code, whichever is more restrictive.
23. Grantees and subgrantees will maintain procedures to minimize the time elapsing between the award of funds and the disbursement of funds.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

The undersigned represents that he/she is authorized by the above named applicant to enter into this agreement for and on behalf of the said applicant.

Signature of Authorized Agent: \_\_\_\_\_

Printed Name of Authorized Agent: Arthur L. Dao

Title: Executive Director Date: \_\_\_\_\_

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# Memorandum

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1111 Broadway, Suite 800, Oakland, CA 94607

510.208.7400

www.AlamedaCTC.org

**DATE:** February 1, 2016

**SUBJECT:** Route 84 Expressway Widening (PN 1210.002, 1210.003) Right of Way Phase Budget Augmentation and Contract Amendment No. 4 to Professional Services Agreement No. A05-0004 with URS Corporation

**RECOMMENDATION:** 1) Approval of Right of Way Phase Budget; and  
2) Approval of Amendment No. 4 to the Professional Services Agreement No. A05-0004 with URS to Provide Design Services During Construction, Engineering Support for Right of Way Acquisition, Utility Relocation, Environmental Mitigation and Landscape Design

## Summary

The Alameda CTC is implementing a number of improvements along the Route 84 Corridor between Interstate 580 and 680. The Route 84 Expressway Widening Project widens the existing two lane highway facility to a six-lane roadway from Jack London Boulevard to Stanley Boulevard and a four lane, limited access controlled facility from Stanley Boulevard to Concannon Boulevard. This project is being delivered as two construction packages: the North Segment from Jack London Boulevard to Concannon Boulevard; and the South Segment from Concannon Boulevard to Ruby Hill Drive. Construction of the North Segment (PN 1210.001) was completed in June 2014. The construction contract for the South Segment (PN 1210.002) was awarded on September 30, 2015. The project is currently in winter suspension and construction is expected to start again in early April 2016. A landscape project to address on-site environmental mitigation requirements, as well to restore landscaping, will be implemented via a Contract Change Order (CCO) to the South Segment construction contract.

The total cost for the South Segment is \$105,400,000. The project budget includes \$44,900,000 from 2000 Measure B, \$47,000,000 from STIP-RIP, \$10,000,000 from the Tri Valley Transportation Council (TVTC), \$2,000,000 CMA TIP and \$1,500,000 from City of Livermore. As the implementing agency, Alameda CTC completed preliminary engineering, environmental studies, and detailed design and right of way phases of this project. Caltrans is administering the construction phase.

This request involves a budget increase for the following two components, without increasing the overall project budget:

### **Increase in Right of Way Budget from \$31,883,000 to \$37,700,000:**

The projected final right of way expenditures will exceed the right of way budget originally approved by the Commission for the following reasons:

- 1) Market value for real estate in the Bay Area has significantly increased since properties were appraised about two years ago as part of the first written offers to the property owners. As such, levels of compensation to achieve settlement have been higher than originally anticipated;
- 2) Higher cost of mitigation due to very limited resources for mitigation available in the area; and
- 3) Utility relocation costs have significantly gone up from the original cost estimates included in the utility agreements two years ago.

### **Amendment No. 4 to the Professional Services Contract A05-0004 with URS for \$1,000,000**

The Alameda CTC retained URS Corporation to provide the necessary project development services to secure environmental approval, to complete the civil design, permitting and right-of-way acquisition, and to provide Design Services during Construction (DSDC) for the project.

The right of way acquisition process for this project has been very lengthy and difficult. Due to several utilities needing relocation before and during construction, the utility coordination has been very extensive. Due to the limited amount and type of mitigation resources available at any one site, the project team had to explore multiple sites to secure the needed mitigation. Due to the lengthy bid protest process, it required significantly more coordination with Caltrans. For these reasons, the actual level of engineering support by URS Corporation is higher than what was included in their approved contract and the latest approved Amendment No. 3. The DSDC amount included in Amendment No. 3 was expended to address several on-going design, right of way and utility issues. As such, \$800,000 is needed to restore funding to provide DSDC for the main construction contract and to cover additional support which URS provided.

Staff worked with Caltrans and the California Transportation Commission (CTC) staff to retain over \$4,000,000 in savings of state and federal funds resulting from the low bids. This bid saving will be retained in the main construction contract to implement landscape work via a CCO. The landscape work will include planting several oak trees and restoration of landscaping, within the limits of the North and South Segments, as required by the environmental document. CTC Staff agreed to allow use of STIP-RIP savings for the landscape work with the condition that local funds will be used to complete the landscape design package and scope of landscape work will be consistent with the mitigation required in the environmental document. An additional \$200,000 are requested to be included the DSDC to complete the landscape design work and support associated effort to complete the CCO package.

Staff recommends approval of Amendment No. 4 to Agreement No. A05-0004 for an additional amount of \$1,000,000 for a total not-to-exceed amount of \$15,750,000, as

shown in Table A, which will allow URS Corporation to complete the extensive right-of-way acquisition process, environmental mitigation, complete landscape design and provide

<b>Table A: Summary of Agreement No. A05-0004</b>			
<b>Contract Status</b>	<b>Work Description</b>	<b>Value</b>	<b>Total Contract Not-to-Exceed Value</b>
Original Professional Services Agreement with URS Corporation (A05-0004) March 1, 2005	Project Approval and Environmental Clearance (PA&ED)	N/A	\$2,500,000
Amendment No. 1 July 26, 2007	Design, Right-of-Way Engineering and Design Services During Construction	\$8,750,000	\$11,250,000
Amendment No. 2 May 26, 2011	Additional Design, Right-of-Way Engineering and Right-of-Way Acquisition services	\$2,500,000	\$13,750,000
Amendment No. 3 September 11, 2014	Additional Design and Right-of-Way Engineering Acquisition services, Utility Design and Coordination Services and Design Services During Construction <ul style="list-style-type: none"> <li>• Amount</li> <li>• Time extension to June 30, 2018 (original contract expiration June 2016)</li> </ul>	\$1,000,000	\$14,750,000
<i>Proposed</i> Amendment No. 4 February 08, 2016	Additional right of way acquisition, utility relocation & mitigation coordination. Design Services During Construction and Design of Landscape project <ul style="list-style-type: none"> <li>• Amount</li> <li>• Time extension to December, 2018</li> </ul>	\$1,000,000	\$15,750,000
<b>Total Amended Contract Not-to-Exceed Amount</b>			<b>\$15,750,000</b>

required design support during construction as described above.

## Background

The Route 84 Expressway Project is part of the Route 84 Transportation Corridor Improvements between Interstate 580 in Livermore and Interstate 680 in Pleasanton/Sunol which have been systematically planned, developed and implemented over the last few decades to meet increased population, housing and economic growth in the Tri-Valley. This corridor is being improved as a series of projects along the corridor in partnership with Alameda CTC, Caltrans, and the cities of Livermore and Pleasanton. The Route 84 Expressway Project is being delivered as two construction packages: the North Segment, from Jack London Boulevard to Concannon Boulevard and the South Segment, from Concannon Boulevard to Ruby Hill Drive. The North Segment widened Route 84 to six lanes from Jack London Boulevard to Stanley Boulevard and to four lanes from Stanley Boulevard to Concannon Boulevard. Caltrans advertised, awarded, and administered the construction contract for the North Segment which was completed in June 2014. The South Segment continues the widening of Route 84 from two lanes to four lanes from Concannon Boulevard to Ruby Hill Drive in the City of Livermore. The project was awarded on September 30, 2015 and is currently in winter suspension. Construction is expected to start again in April 2016 and complete by fall 2017. URS Corporation was selected by Alameda CTC through a competitive selection process in 2005 to provide the necessary project development services, to secure environmental approval, to complete civil design, permitting and right-of-way acquisition; and to provide design support during construction. Additional tasks to support the delivery of the project have recently been identified that were not previously scoped.

The South Segment has incurred significant additional unexpected costs largely due difficult negotiations with property owners. This has resulted in the need for extensive legal support and condemnation. In addition, the environmental mitigation has identified several items which are now being implemented. Specifically, establishment of wetlands and landscape restoration which are included in the landscape and environmental support portion of this contract amendment.

A landscape project to address on-site environmental mitigation requirements, as well to restore landscaping, will be implemented via CCO to the South Segment construction contract.

The total cost for the South Segment is \$105,400,000. The project budget includes \$44,900,000 of 2000 Measure B, \$47,000,000 from STIP-RIP, \$10,000,000 of TVTC, \$2,000,000 of CMA TIP and \$1,500,000 from the City of Livermore. As the implementing agency, Alameda CTC completed the preliminary engineering, environmental studies, and detailed design and right of way phases of this project. Caltrans is administering the construction phase.

As discussed in the summary section, this request involves budget increase for the following two components, without increasing the overall project budget:

**Increase in Right of Way Budget from \$31,883,000 to \$37,700,000**, to cover projected higher than planned expenditures due to escalation in right of way costs, higher utility relocation and mitigation costs.

**Amendment No. 4 to the Professional Services Contract A05-0004 with URS for \$1,000,000**, to cover additional coordination related to right of way acquisition, utility relocation, mitigation and to complete landscape design.

**Levine Act Statement:** URS Corporation did not report a conflict in accordance with the Levine Act.

**Fiscal Impact:** The fiscal impact of approving this item is \$6,817,000. The action will authorize the additional encumbrance of project funding for subsequent expenditure. This budget is included in the appropriate project funding plans and has been included in the Alameda CTC Adopted FY2015-2016 Operating and Capital Program Budget.

#### **Staff Contact**

[James O'Brien](#), Interim Deputy Director of Programming and Allocations

[Gary S. Sidhu](#), Highway Program Manager

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# Memorandum

5.8

1111 Broadway, Suite 800, Oakland, CA 94607

• PH: (510) 208-7400

• www.AlamedaCTC.org

<b>DATE:</b>	February 1, 2016
<b>SUBJECT:</b>	I-580/I-680 Express Lanes (1373.000/1369.000): Contract Amendment and Procurement Actions
<b>RECOMMENDATIONS</b>	<p>Approve the following actions to support delivery of the I-580 and I-680 Express Lane Projects:</p> <ol style="list-style-type: none"><li>1. Approve Amendment No. 2 to Professional Services Agreement No. A11-0033 with CDM Smith, Inc. for augmenting scope of services and including additional budget of \$300,000 for a total not-to-exceed budget of \$1,733,934 for System Manager Services in current fiscal year 2015/16</li><li>2. Approve the release of a Request for Proposals and authorize the Executive Director to negotiate a Professional Services Agreement with the top ranked firm for System Manager Services in fiscal year 2016/17</li></ol>

## Summary

In its July 2011 meeting, the Commission authorized the execution of Professional Services Agreement ("Agreement") with CDM Smith, Inc. (formerly Wilbur Smith Associates Inc.) for System Manager Services for the I-580 and I-680 Northbound Express Lanes. At the time of procurement, it was assumed that the toll lanes on I-580 and I-680 would be constructed as restricted access facilities. It was envisioned that the toll lanes on I-580 would include a total of five access locations: three exclusive ingress/egress and two combined ingress/egress locations, involving a limited number of toll segments. Similarly, it was assumed that the I-680 Northbound Express Lane would mirror the I-680 Southbound Express Lane that has been in operation since September 2010 and includes three toll segments.

In late 2012, in compliance to the updated federal, state and regional requirements, Alameda CTC adopted the continuous access (also known as open access) concept for implementation on the I-580 and I-680 Northbound Express Lanes that resulted in the development of multiple-closely spaced toll segments. To accommodate the revised toll system design, staff reallocated CDM Smith's task budgets to review and approve the revised toll system design, submitted by the toll system integrator, and for the redevelopment of the System Engineering Management Plan (SEMP) and the Concept of Operations ("Con Ops").

It is crucial that CDM Smith's system manager services are continued on these I-580 and I-680 Express Lanes projects on limited time sensitive schedule items, described below:

The I-580 is a route of regional significance, serves as the gateway to the San Francisco Bay Area businesses and for commuters to and from the Central Valley Region. For nearly two decades I-580 has continued to rank as one of the most congested corridors in the Bay Region. Alameda CTC in partnership with the federal, state and regional partners has been implementing several improvements within this I-580 Corridor to address recurring and forecasted traffic congestion. The last of such near-term improvements is the I-580 Express Lanes implementation that is nearing completion and is expected to be opened to traffic in early 2016 (mid- to late-February 2016). Once the lanes are opened, within 90 days, the toll system integrator will have to demonstrate that the toll system is functioning flawlessly for a continuous 30-day operation. The System Manager (CDM Smith), as the agency toll system expert, is required to oversee the field testing and approve the toll system within this first 90-day operational period.

Over the last three years, Interstate 680 Corridor in Alameda County (from I-580 to Route 237) has very quickly emerged as one of the most congested corridor in the entire Bay Area. In particular, the 9-mile segment of northbound I-680 from south of Auto Mall Parkway in Fremont to Route 84 near Pleasanton has experienced substantial daily congestion and delays between the hours of 1:30 PM and 7:30 PM. Bottlenecks or traffic queues are often four to six miles long with speeds of less than 10 miles per hour, essentially standstill conditions. To provide immediate traffic relief, Alameda CTC embarked on an aggressive project delivery for the above referenced 9-mile segment with final design expected to be completed within a year, i.e.) by the end of 2016. To ensure coordination between the civil and toll system designers, Alameda CTC advertised the procurement of a toll system integrator for this project. The interviews for the selection are complete and the staff is currently engaged in a Best and Final Offer ("BAFO") negotiation process. The System Manager (CDM Smith) has been assisting the staff in the selection process, including in the BAFO negotiations.

Amendment No 1 to the Agreement with CDM Smith was approved in July 2015 for a 3-year time extension only. No additional budget was included at that time. It is critical that the CDM Smith's services are continued during this FY for completion of the two critical task items, listed above. Therefore, the staff recommends that the Commission approve Amendment No. 2 that will include additional budget for completion of these tasks.

Since the current System Manager Contract was procured in 2011, nearly five years ago, based on anticipated services for a much simpler restricted access express lanes and condensed delivery schedule, staff recommends that a new System Manager is procured for the continued services on the I-580 and I-680 Express Lanes. Additional discussions are included in subsequent sections.



## Background

**I-580 Express Lanes:** Over the last two decades, the I-580 corridor has consistently been rated as one of the most congested freeway segments within the San Francisco Bay Area region. As the next step in strategic investments in this corridor, Alameda CTC is implementing express lanes in both the east and west-bound directions. The express lanes will include the implementation of an electronic toll system (ETS) that will provide a new choice to single occupancy vehicle (SOV) users, enabling them to make use of the unused capacity in the HOV lane for a fee, if they choose to use the lanes. Tolls will be collected through All Electronic Toll collection method by the use of FasTrak®/FasTrak® flex. The toll system will include a violation enforcement system (VES) to implement automated toll evasion violation enforcement which is expected to curtail toll evasions.

The I-580 Corridor projects will provide increased capacity, safety and efficiency for commuters and freight along the primary corridor connecting the Bay Area with the Central Valley. In its role as project sponsor, the Alameda CTC has been working in partnership with Caltrans, California Highway Patrol, the Metropolitan Transportation Commission, Alameda County, and the cities of Livermore, Dublin, and Pleasanton to deliver the projects.

**I-680 Northbound Express Lane:** The I-680 Corridor is included in both the 2000 Measure B and 2014 Measure BB capital programs and has long been a critical element of the Alameda County transportation network. It has recently moved up the list of the most congested corridors in the Bay Area. Currently, there is heavy afternoon congestion on I-680 Northbound from Scotts Creek Boulevard to Andrade Road. Traffic studies have confirmed that this heavy congestion is caused by two bottleneck locations affecting northbound I-680 between SR 237 and SR 84 on weekday afternoon/evening commutes between 1:30pm and 7:30pm. The first bottleneck is located near Washington Boulevard. The second is at the lane drop near the truck scales located between Sheridan Road and Andrade Road. The congestion on the freeway has spilled onto local streets that parallel the freeway causing significant congestion along local streets in the area. The initial phase of construction, the 9-mile long Phase 1 Modified Project, will add a new HOV/Express Lane from south of Auto Mall Parkway to SR 84, eliminate the two bottlenecks, and alleviate the congestion on the freeway and local streets.

The Project Approval and Environmental Document (PA&ED) for the overall project was completed in July 2015 and final design is progressing on an expedited project delivery schedule.

**I-680 Southbound Express Lane conversion:** To improve access opportunities, the northbound improvements will also include the conversion of existing southbound express lanes from restricted to continuous access facility, from SR 84 to SR 262.

**Agreement with CDM Smith, Inc. (Budget Augmentation Need):** In 2011, CDM Smith was retained as System Manager (staff extension) to support the implementation of toll systems on the I-580 and I-680 Northbound. An Agreement with CDM Smith was executed in late 2011 for a Not to Exceed Contract Maximum of \$1,433,934. At the time of

procurement, it was assumed that the toll lanes on I-580 and I-680 would be constructed as restricted access facilities. It was envisioned that the toll lanes on I-580 would include a total of five access locations: three exclusive ingress/egress and two combined ingress/egress locations, involving a limited number of toll segments. Similarly, it was assumed that I-680 Northbound Express Lane would mirror the I-680 Southbound Express Lane that has been in operation since September 2010 and includes three toll segments.

In late 2012, in compliance to updated federal, state and regional requirements, Alameda CTC adopted the continuous access (also known as open access) concept for implementation on the I-580 and I-680 Northbound Express Lanes that resulted in the development of multiple-closely spaced toll segments. In 2013 and 2014, two major amendments were executed with the toll system integrator to accommodate the design changes. To accommodate those design changes, staff reallocated CDM Smith's task budgets to review and approve the revised toll system design, and for the redevelopment of the System Engineering Management Plan and the Concept of Operations. In addition to the budget reallocation, in July 2015, staff sought the approval of Amendment No 1 to the Agreement with CDM Smith for a 3-year time extension, without augmenting the budget. Schedule changes, resulted from toll system design changes also impacted the task budgets.

The I-580 Express Lanes are expected to be opened in early 2016 (mid- to late-February 2016), weather dependent. Within 90 days of lane opening, the toll system integrator will have to demonstrate that the toll system is functioning flawlessly for a continuous 30-day operation. The System Manager, as the agency toll system expert is required to oversee the field testing and approve the toll system within this first 90-day operational period.

To provide immediate traffic congestion relief within the I-680 Corridor, Alameda CTC embarked on an aggressive project delivery for Phase 1 of the I-680 Northbound Express Lanes (the 9-mile segment, referenced earlier) with final design is expected to be completed within a year, i.e.) by the end of 2016. To ensure coordination between the civil and toll system designers, Alameda CTC advertised the procurement of a Toll System Integrator (TSI) for this project. The interviews for the selection are complete and the staff is currently engaged in a BAFO negotiation process. The System Manager has been assisting the staff in the selection process, including in the BAFO negotiations.

It is critical that the CDM Smith's services are continued during this FY for completion of the two critical task items, listed above.

Staff negotiated the scope and budget, in the amount of \$300,000 for the augmented services for the I-580 and I-680 Express Lanes, and recommends approval of Amendment No. 2 to Agreement No. A11-0033 with CDM Smith's for continued system manager services in the current FY.

Since the current System Manager Contract was procured in 2011, nearly five years ago, based on anticipated services for a much simpler restricted access express lanes and condensed delivery schedule, staff recommends that a new System Manager is procured for the continued services on the I-580 and I-680 Express Lanes.

The new System Manager is expected to provide the following services:

I-580 Express Lanes:	Final system acceptance at the conclusion of 1-year warranty period
	On-call System Manager support services, on an as-needed basis
I-680 Express Lanes:	Provide technical oversight and advise agency of toll lane implementation
	Review preliminary Electronic Toll System Design documents, including Con Ops, SEMP and Business Rules, and finalize them for approval
	Oversee the planning, design and implementation of toll systems by the Toll System Integrator (TSI), including the review and approval of all TSI deliverables

**Action No. 1:** Approve and authorize the Executive Director to execute Amendment No. 2 to Professional Services Agreement No. A11-0033 with CDM Smith Associates, Inc. for the augmented scope of services and budget of \$300,000 for a total not-to-exceed budget of \$1,733,934 for continued System Manager Services.

**Action No. 2:** Authorize the release of a RFP and authorize the Executive Director to negotiate a Professional Services Agreement with the top ranked firm for System Manager Services, for services from FY 2016/17 onwards.

**Fiscal Impact:** The recommended Action No. 1 will result in the encumbrance of \$300,000 of 2000 Measure B funds for subsequent expenditure. Funding for the effort will come from ACTIA Projects 8B and 26 and is included in the Alameda CTC Adopted FY2015-2016 Operating and Capital Program Budget.

#### Staff Contact

[James O'Brien](#), Interim Deputy Director of Programs and Projects

[Kanda Raj](#), Express Lanes Program Manager

#### Attachments

Attachment A: Summary of Agreement No A11-0033

Attachment B: Project(s) Location Map

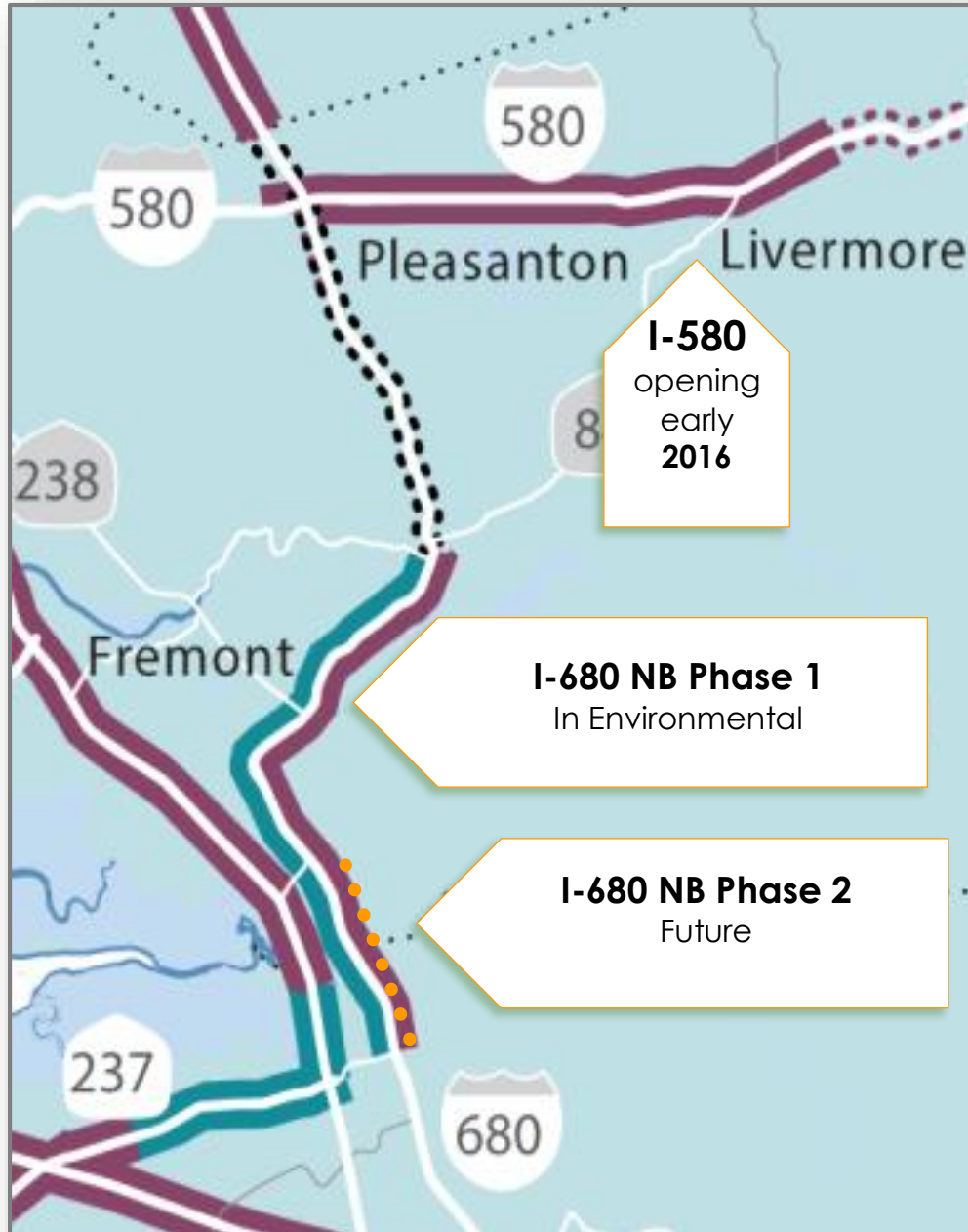
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**Attachment A:** Summary of Agreement No. A11-0033 with CDM Smith.

<b><u>Agreement No. A11-0033 Contract Summary</u></b>			
<b>Contract Status</b>	<b>Work Description</b>	<b>Amendment Value</b>	<b>Total Contract Not-to-Exceed Value</b>
Original Professional Services Agreement (A11-0033), executed December 2011	System Manager Services for closed access toll facilities Schedules: I-580 Express Lane Opening in August 2015 I-680 NB Express Lane Opening in August 2017		\$1,433,934
Amendment No. 1 July 2015	3-year time extension (until August 28, 2018)	\$0	\$1,433,934
Proposed Amendment No. 2 February 2016	System Manager Services for continuous access toll facilities Schedule: I-580 Express Lane Opening in February 2016	\$300,000	\$1,733,934
<b>Total Amended Contract Not-to-Exceed Amount</b>			<b>\$1,733,934</b>

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## Alameda CTC Express Lanes



### LEGEND

- EXISTING EXPRESS LANE
- NEAR TERM EXPRESS LANE PROJECTS (BY 2020)
- - - - - MID TERM EXPRESS LANE PROJECTS (BY 2025)
- - - - - LONG TERM EXPRESS LANE PROJECTS (BY 2035)

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# Memorandum

5.9

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**DATE:** February 1, 2016

**SUBJECT:** Approval of Administrative Amendments to Various Project Agreements (A07-011.BKF.Ph2, A99-0003, A12-0050, A12-0024, A08-017.TYLin, A08-017.RM(NS) and A10-0026)

**RECOMMENDATION:** Approve and authorize the Executive Director to execute administrative amendments to various project agreements in support of the Alameda CTC's Capital Projects and Program delivery commitments.

## Summary

Alameda CTC enters into agreements/contracts with consultants and local, regional, state, and federal entities, as required, to provide the services, or to reimburse project expenditures incurred by project sponsors, necessary to meet the Capital Projects and Program delivery commitments. Agreements are entered into based upon estimated known project needs for scope, cost, and schedule.

The administrative amendment requests shown in Table A have been reviewed and it has been determined that the requests will not compromise the project deliverables.

Staff recommends the Commission approve and authorize the administrative amendment requests as listed in Table A attached.

## Background

Amendments are considered "administrative" if they do not result in an increase to the existing encumbrance authority approved for use by a specific entity for a specific project. Examples of administrative amendments include time extensions and project task/phase budget realignments which do not require additional commitment beyond the total amount currently encumbered in the agreement, or beyond the cumulative total amount encumbered in multiple agreements (for cases involving multiple agreements for a given project or program).

Agreements are entered into based upon estimated known project needs for scope, cost, and schedule. Throughout the life of a project, situations may arise that warrant the need for a time extension or a realignment of project phase/task budgets.

The most common justifications for a time extension include (1) project delays and (2) extended project closeout activities.

The most common justifications for project task/phase budget realignments include 1) movement of funds to comply with timely use of funds provisions; 2) addition of newly obtained project funding; and 3) shifting unused phase balances to other phases for the same project. Recommendations for task/phase budget realignments are detailed in Attachment B.

Requests are evaluated to ensure that the associated project deliverable(s) are not compromised. The administrative amendment requests identified in Table A have been evaluated and are recommended for approval.

**Levine Act Statement:** No firms reported a conflict in accordance with the Levine Act.

**Fiscal Impact:** There is no significant fiscal impact to the Alameda CTC budget due to this item.

#### **Attachments**

- A. Table A: Administrative Amendment Summary
- B. Task/Phase Budget Realignment Request

#### **Staff Contact**

[Trinity Nguyen](#), Sr. Transportation Engineer

[Richard Carney](#), Project Controls Team

Table A: Administrative Amendment Summary

Index No.	Firm/Agency	Project/Services	Agreement No.	Request	Reason Code	Fiscal Impact
1	BKF Engineers	I-580 Westbound HOV Lane (PN1372.004 & 1372.005)	A07-011.BKF.Ph2	12 month time extension	1	None
2	Parsons Brinckerhoff, Inc.	Mission Blvd. Route 262/I-880 Interchange Reconstruction and Freeway Widening Project/Design and R/W engineering services	A99-0003	12 month time extension	1	None
3	City of Hayward	Route 92/Clawiter -Whitesell Interchange and Reliever Route	A12-0050	Phase Budget Realignment. See Attachment B for details.	5	None
4	City of Newark	Dumbarton Corridor Improvements – Central Avenue Overpass/Env-Design	A12-0024	12 month time extension and phase budget realignment. See Attachment B for details.	1,5	None
5	T.Y. Lin International CS	I-580 EB Auxiliary Lanes (PN 1368.004 & 1371.000)	A08-017.TYLin	12 month time extension	1	None
6	Rajappan & Meyer Consulting Engineers	I-880 SB PE/Design (PN 1376.000 & 1376.002)	A08-017.RM(NS)	12 month time extension	1	None
7	HQE, Inc.	PE/Env and Design Services for the East Bay Greenway Project (PN 1255.000)	A10-0026	12 month time extension	1	None

- (1) Project delays.
- (2) Extended project closeout activities.
- (3) Movement of funds to comply with timely use of funds provisions.
- (4) Addition of newly obtained project funding.
- (5) Unused phase balances to other project phase(s).

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**Task/Phase Budget Realignment Request**

**Phase Budget Realignment:** Route 92/Clawiter – Whitesell Interchange and Reliever Route project (PN 1201.000)

The City of Hayward is the Sponsor of the Route 92/Clawiter – Whitesell Interchange and Reliever Route Project (PN 615.0), a Measure B capital project. The project involves improving access to and from Route 92 in the area of the existing Route 92 / Clawiter Road Interchange to provide some congestion relief to I-880 and several major arterials, such as Winton Avenue, Clawiter Road, and Depot Road. The City is currently implementing the first phase of the project, which is comprised of local street system modifications. Project Specific Funding Agreement A12-0050, executed on May 26, 2011 and as amended on February 27, 2014, authorized \$26.437 million of Measure B for the Final Design, Right-of-Way (Support and Capital), Utility, and Construction phases of this first phase of the project.

The Right-of-Way (R/W) elements for this project include a total of ten acquisitions involving private, commercial, and public use parcels and five tenant relocations. Rohm & Haas California, Inc. (DOW Chemicals), Depot Road LLC, and Dorris Auto Wreckers, Inc. are three major acquisitions that greatly impacted the R/W costs. The budget estimated for R/W used the best available information; however, it could not reasonably estimate the outcome of property values, the number of parcels that would require eminent domain proceedings, or the level of design modifications necessary to minimize impacts to the adjacent properties.

The project is currently in construction and as of December 31, 2015 is over 50% complete, including all significant underground work. The project is on schedule to be completed by October 2016. The City has completed its evaluation of the prior phase expenditures and is requesting the realignments as shown in Table 1. The primary shifts are unused Measure B budget from the Right-of-Way support, Construction support and Utility phases to the R/W Capital phase. Additionally, there is \$607,000 of bid savings. The City is requesting that the bid savings also be made available for R/W capital. In accordance with the agreement stipulations, the City is responsible for addressing the overall project cost over runs. The City has identified and committed local funds to address the overall estimated total project shortfall of \$1.8 million.

The phase budget realignments as shown in Table 1 have been evaluated and (1) do not increase the Measure B commitments and (2) supports the project deliverables. Staff recommends approval of the City's phase budget realignment request.

**Table 1:** Route 92/Clawiter – Whitesell Interchange and Reliever Route project (PN 615.0)  
Phase Budget Realignment Summary

Phase	Current Budget (\$)		Phase Adjustments (\$)		Proposed Budget (\$)	
	Measure B	Sponsor Funding	Measure B	Sponsor	Measure B	Sponsor Funding
Final Design (PS&E)	2,360,000	105,000	0	163,618	2,360,000	268,618
Right of Way Support	1,960,000	240,000	-267,008	-119,313	1,692,992	120,687
Right of Way Capital	8,590,000	0	1,430,369	1,398,184	10,020,369	1,398,184
Utility	500,000	0	-500,000	0	0	0
Construction Support	920,000	130,000	-56,361	-73,639	863,639	56,361
Construction Capital	12,107,000	0	-607,000	0	11,500,000	0
Total	<b>26,437,000</b>	<b>475,000</b>	<b>0</b>	<b>1,368,850</b>	<b>26,437,000</b>	<b>1,843,850</b>

**Phase Budget Realignment:** Dumbarton Corridor Improvements – Central Avenue Overpass (PN 1211.001)

The City of Newark is the Sponsor of the Central Avenue Overpass Project (PN 1211.001), which is a portion of the Dumbarton Corridor Improvements Project, a Measure B capital project. Central Avenue provides a critical east-west route through the City of Newark and also serves as a bypass for regional traffic using Route 84 and Interstate 880 to traverse the Dumbarton Bridge corridor. The Central Avenue Overpass project will eliminate a significant impediment to the flow of traffic through the project area and relieve congestion in the corridor.

Project Specific Funding Agreement A12-0024, executed on November 1, 2013 authorized \$2.765 million of Measure B for the Preliminary Engineering/Environmental Studies Phase and Plans, Specification, and Estimate (PS&E) phases of the project. The current phase budgets included assumptions that a higher level of environmental effort would be required and that preliminary engineering efforts would be required in order to achieve environmental clearance. The project was granted environmental clearance in November 2015 through the categorical exemption process which did not require preliminary engineering tasks to be performed. The engineering tasks are still required; however, will now be performed during the PS&E phase.

The City recently completed its procurement process for the selection of the design consultant and is ready to move forward with the P&E phase. In addition to the phase budget realignments, the City is also requesting a 2-year time extension to complete the design work. The original schedule had assumed much of the discussions with Union Pacific Railroad would occur during the environmental/preliminary engineering phase.

The phase budget realignments as shown in Table A and the time extension request have been evaluated and (1) do not increase the Measure B commitments and (2) supports the project deliverables. Staff recommends approval of the budget realignments as shown below and the two-year time extension request.

**Table 2:** Dumbarton Corridor Improvements – Central Avenue Overpass (PN 625.1)  
Phase Budget Realignment Summary

Phase	Current Budget (\$)		Phase Adjustments (\$)		Proposed Budget (\$)	
	Measure B	SPONSOR Funding	Measure B	SPONSOR Funding	Measure B	SPONSOR Funding
Environmental/PE	1,515,000	0	-1,515,000	30,000	0	30,000
PS&E	1,250,000	0	1,515,000	50,000	2,765,000	50,000
Total	<b>2,765,000</b>	<b>0</b>	<b>0</b>	<b>80,000</b>	<b>2,765,000</b>	<b>80,000</b>

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