Meeting Notice

Programs and Projects Committee

Monday, February 12, 2018, 12:15 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).

Garage parking is located beneath City Center, accessible via entrances on 14th Street between 1300 Clay Street and 505 14th Street buildings, or via 11th Street just past Clay Street.

To plan your trip to Alameda CTC visit www.511.org.

Accessibility

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

Meeting Schedule

The Alameda CTC meeting calendar lists all public meetings and is available at www.AlamedaCTC.org/events/upcoming/now.

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.

Connect with Alameda CTC

www.AlamedaCTC.org
facebook.com/AlamedaCTC
@AlamedaCTC
youtube.com/user/AlamedaCTC
Programs and Projects Committee
Meeting Agenda
Monday, February 12, 2018, 12:15 p.m.

1. Pledge of Allegiance
2. Roll Call
3. Public Comment
4. Consent Calendar
   4.1. Approve the January 8, 2018 PPC meeting minutes.
4.2. Programs and Projects
   5.1. Lifeline Transportation Program – Cycle 5 Guidelines and Programming process.
   5.2. Approve the Transportation Fund for Clean Air (TFCA) FY2018-19 Policies and Expenditure Plan Application.
   5.3. State Route 84 Expressway Widening and State Route 84 / Interstate 680 Interchange Improvements Project (PN 1386.000): Approval of Amendment No. 1 to Professional Services Agreement A14-0052 with AECOM Technical Services, Inc.
4.3. Committee Member Reports
4.4. Staff Reports
4.5. Adjournment

Next Meeting: Monday, March 12, 2018

All items on the agenda are subject to action and/or change by the Committee.
This page intentionally left blank
1. **Pledge of Allegiance**

2. **Roll Call**
   A roll call was conducted. All members were present with the exception of Commissioner Kalb.

   **Subsequent to the roll call**
   Commissioner Kalb arrived during Item 5.1. Commissioner Miley left after item 5.2.

3. **Public Comment**
   There were no public comments.

4. **Consent Calendar**
   4.1. **Approve the November 13, 2017 PPC meeting minutes.**
   Commissioner Bauters moved to approve the Consent Calendar. Commissioner Freitas seconded the motion. The motion passed with the following votes:

   Yes: Dutra-Vernaci, Cutter, Bauters, Freitas, Haggerty, Maass, Miley, Valle, Kaplan
   No: None
   Abstain: None
   Absent: Kalb

5. **Programs and Projects**
   5.1. **Senate Bill 1 Programs Update.**
   Vivek Bhat presented an update on Senate Bill 1 programs. He noted that in April 2017, the California Legislature approved Senate Bill (SB) 1, which represents the first significant increase in state transportation funding in more than two decades. Mr. Bhat said that the California Transportation Commission (CTC) is responsible for the administration of SB 1 revenues and for the development of the policy framework and guidelines for programs funded through SB 1. He gave a brief overview of various funding programs included under SB 1 programs.

   Commissioner Haggerty asked why the State Route 84 Widening project is not going forward with the I-680 project. Trinity Nguyen stated that the SR 84 project is currently in the environmental phase and has right-of-way and funding challenges. Funding is being pursued from SB1 to fully fund the construction of the project.

   Commissioner Miley wanted to know if there are any SB 1 investments planned for paratransit. Mr. Dao stated that there are funds in SB 1 that go directly to transit operators that could be used to augment paratransit services.
Commissioner Bauters asked if the agency is submitting proposals that include additional funding to what has previously been funded in the Comprehensive Investment Plan (CIP). Mr. Bhat stated that Alameda CTC is applying for funding that will carry the projects past the funding allocated in the FY2017-18 CIP. The Active Transportation Cycle 4 is funded beyond FY2017-18.

Commissioner Dutra-Vernaci wanted to know if there is a funding plan prepared in the event that SB 1 is repealed and RM 3 doesn’t pass. Mr. Dao stated that the goal is to ensure that SB 1 is not repealed and that RM3 passes at the ballot.

Commissioner Dutra-Vernaci asked if the language in RM3 is SB 1 for the Route 84 Widening Project. Mr. Dao said the language is consistent across the board.

This item was for information only.

### 5.2. Global Opportunities at the Port of Oakland Project (GoPort – PN 1442000) – Approval of necessary specific funding actions and authorization to initiate and execute various professional services and agency agreements to move specific project components into the Final Design and Plans, Specifications, and Estimate (PS&E) Phase.

Trinity Nguyen requested that the Commission approve an allocation of an additional $20.02 million from the County Freight Corridor Funding Program (TEP #27) of the Measure BB transportation sales tax program for the Final Design and PS&E Phase of the GoPort Project; approve authorization to initiate the contract procurement to obtain engineering services for the final design and preparation of the PS&E for the 7th Street Grade Separation East (7SGSE) Component of the GoPort Project; approve authorization for the Executive Director to execute Amendment No. 1 to Professional Services Agreement No. A17-0004 with Jacobs Engineering Group for an additional contract amount of $18.0 million, for a total not-to-exceed amount of $31.0 million, and a 24-month time extension to June 30, 2020, to provide final design services and preparation for the PS&E for the 7th Street Grade Separation West (7SGSW) Component, the Freight Intelligent Transportation System (FITS) Component, and Port Utility Relocation (PUR) Component of the GoPort Project; and, approve authorization to encumber costs incurred directly by the Alameda CTC, within the approved project allocations and project budgets, including obligated amounts for agreements with project partners, project delivery management and support services consultants, third party reviews, staff, and other direct project costs; and approve authorization for the Executive Director to execute associated agreements. Ms. Nguyen provided an overview of the Go Port program, the four project components of the project including funding sources and design schedules for all four components. Ms. Nguyen covered program challenges and reviewed details of each recommended action.

Commissioner Cutter asked how the Port of Oakland contributes to the project. Ms. Nguyen stated that Port staff resources are at no cost and the Port has secured the
Port Security grant for the project. Art Dao noted that the project is a joint effort between the Port and the City of Oakland.

Commissioner Maass wanted to know how coal exports are impacted should all the project funding be approved. Mr. Dao stated that the state made it a requirement that none of the funding is targeted to benefit coal imports/exports.

Commissioner Bauters questioned if there are any indirect consequences for the City of Emeryville due to the fact that coal trucks cannot idle in Oakland. Mr. Dao stated that the project is strictly for managing congestion from trucks and helping make the Port more efficient and competitive. Mr. Dao stated there is no correlation between the GoPort projects and the development of the coal facilities.

Commissioner Miley suggested that the Commissioner visit the Port to see the current condition of the Port and better understand the need for investment.

Commissioner Dutra-Vernaci wanted information on conversations with Union Pacific Railroad (UPRR). Ms. Nguyen stated that Regional Rail Strategy has opened the door for positive conversations with UPRR. UPRR engineering staff are scheduled to participate in a field review in the next couple of weeks.

Commissioner Haggerty moved to approve this item. Commissioner Kalb seconded the motion. The motion passed with the following votes:

Yes: Dutra-Vernaci, Cutter, Bauters, Freitas, Haggerty, Kalb, Miley, Maass, Valle, Kaplan
No: None
Abstain: None
Absent: None

5.3. I-880/Mission Boulevard (Route 262) Interchange Project (PN 1174000) – Approval and authorization to execute a Professional Services Agreement with Oberkamper & Associates to provide Right of Way services for the closeout phase.
Trinity Nguyen recommended that the Commission approve and authorize the Executive Director to execute a Professional Services Agreement with Oberkamper & Associates to provide Right of Way (R/W) services for the closeout phase. She noted that WSP USA, INC. (WSP) formerly Parsons Brinckerhoff Quade & Douglas, Inc., provided design and right-of-way engineering for this project. The Project is currently in the closeout phase and the WSP team has completed all work within their contract scope except for R/W, which has been led by Oberkamper & Associates. Alameda CTC is recommending to close out the agreement with WSP and use the remaining funds to award a non-competitively bid contract to Oberkamper & Associates for $200,000 to complete the R/W transfers for the Project and produce the Project R/W Record Map.
Commissioner Bauters moved to approve this item. Commissioner Freitas seconded the motion. The motion passed with the following votes:

Yes: Dutra-Vernaci, Cutter, Bauters, Freitas, Haggerty, Kalb, Maass, Valle, Kaplan
No: None
Abstain: None
Absent: Miley

5.4. Approval of Administrative Amendments to Project Funding Agreements to extend agreement expiration dates.
Angelina Leong recommended that the Commission approve Administrative Amendments to Project Funding Agreements (A13-0063, A13-0072, A13-0076, A14-0026 and A16-0042). She noted that administrative amendment requests are shown in Table A have been reviewed and it has been determined that the requests will not compromise project deliverables.

Commissioner Cutter moved to approve this item. Commissioner Maass seconded the motion. The motion passed with the following votes:

Yes: Dutra-Vernaci, Cutter, Bauters, Freitas, Haggerty, Kalb, Maass, Valle, Kaplan
No: None
Abstain: None
Absent: Miley

6. Staff Reports
Trinity Nguyen introduced two new staff people in the projects team.

Art Dao noted that the City of Fremont had a project out for bid and the two lowest bids did not meet Alameda CTC’s Local Small Business contracting requirements. The next step is for Alameda CTC to assign a panel to meet with the two contractors that will allow them to appeal to the Commission.

7. Committee Reports
Commissioner Haggerty mentioned an article in the Chronicle regarding an Oakland City Councilmember’s proposal to take funding from several fund sources including the Alameda County sales tax. Commissioner Kalb questioned whether this subject could be discussed at this meeting. Legal Counsel responded that Commissioner Haggerty could raise the subject; however, it can’t be discussed. Mr. Dao stated that no City of Oakland representative has reached out to Alameda CTC about this proposal.
8. **Adjournment/ Next Meeting**

The next meeting is:

- **Date/Time:** Monday, February 12, 2018 at 12:15 p.m.
- **Location:** Alameda CTC Offices, 1111 Broadway, Suite 800, Oakland, CA 94607

Attested by:

[Signature]

Vanessa Lee,
Clerk of the Commission
This page intentionally left blank
DATE: February 5, 2018

TO: Alameda County Transportation Commission Board Members

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

SUBJECT: Cycle 5 Lifeline Transportation Program

Recommendation

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

Summary

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

Background

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

- Are developed through a collaborative and inclusive planning process that engages a broad range of stakeholders such as public agencies, transit operators, community-based organizations and residents, and outreach to underrepresented communities.
• Improve a range of transportation choices by adding new or expanded services including but not limited to: enhanced fixed route transit services, first-and last-mile shuttles, taxi voucher programs, and other eligible projects.

• Address transportation gaps and/or barriers identified in Community-Based Transportation Plans (CBTP) or other substantive local planning efforts involving focused outreach to low-income populations, such as countywide or regional welfare-to-work transportation plans, the Coordinated Public Transit-Human Services Transportation Plan or other documented assessment of need. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable.

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

**Cycle 5 Program**

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

• **Fund Estimate** - For Cycle 5, MTC estimates a total of approximately $20 million in funding will be available for the region, $14 million in STA and $6.5 million in FTA Section 5307. MTC’s Cycle 5 Fund Estimate (Attachment B) shows the fund distribution by county, with approximately $4.8 million identified for Alameda County. The Cycle 5 fund estimate contains just two-years of revenue, FYs 2016-17 and 2017-18, and comprises fewer fund sources (no State Proposition 1B or federal STP), which is why the total amount of funding is substantially lower than prior Lifeline cycles.

• **Eligible fund recipients** – Consistent with Cycle 4, the eligibility for the fund sources available for Cycle 5 continues to be restricted to transit agencies. Non-profits and local government agencies are only eligible as sub-recipients of STA and Section 5307 funds, and would need to partner with an entity that is an eligible direct recipient (i.e., transit agency) that is willing to sponsor the project and pass-through the funds, which includes the review and payment of sub-recipient requests for reimbursement.
• **Regional efforts** - MTC has reserved $1 million off of the top of the Cycle 5 fund estimate to pilot with a few CMAs to include a participatory budgeting process within a CBTP. The pilot will enable residents in Communities of Concern to develop and vote on project priorities as part of the development of a CBTP.

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

<table>
<thead>
<tr>
<th>Key Requirement</th>
<th>STA</th>
<th>Federal 5307</th>
</tr>
</thead>
<tbody>
<tr>
<td>Eligible Direct Recipients</td>
<td>Transit Operators • Funds may be passed through to sub-recipients (cities, County, and non-profit agencies)</td>
<td>Transit Operators that are FTA grantees • Funds may be passed through to sub-recipients (cities, County, and non-profit agencies)</td>
</tr>
<tr>
<td>Minimum Local Match</td>
<td>• 20%</td>
<td>• 50% operations projects (may use STA funds for up to 30% of match) • 20% capital projects</td>
</tr>
<tr>
<td>Eligible Projects</td>
<td>Transit operations and capital, including: Fixed-route and shuttle operations, vehicle purchase, technology, capital improvements, mobility management.</td>
<td>Operations and capital, including late night, weekend and expansion of fixed route services, shuttles, ridesharing, ITS, demand response, mobility management.</td>
</tr>
</tbody>
</table>

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

- **Alameda County CBTPs**
- **Map of MTC Communities of Concern (CoC)**
- **MTC’s Draft 2017 Coordinated Public Transit-Human Services Transportation Plan**

**Project Selection Process**

Applications will be solicited through a discretionary call for projects and the applications received will be scored by an evaluation panel in accordance with MTC’s LTP Guidelines. MTC has established standard evaluation criteria be used to assess and select LTP projects. The six criteria include (1) project need/goals and objectives, (2) community-identified priority, (3) implementation plan and project...
management capacity, (4) coordination and program outreach, (5) cost-effectiveness and performance indicators, and (6) project budget/sustainability. CMAs are to establish a weight to be assigned for each criterion. Additional criteria may be added to a county program, but should not replace or supplant the regional criteria. Attachment C details the proposed criteria and weighting for Cycle 5 which is unchanged from what the Alameda CTC approved for use in prior cycles.

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

Next Steps

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

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

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

Attachments

A. MTC Cycle 5 Lifeline Transportation Program Guidelines
B. MTC Cycle 5 Fund Estimate
C. Alameda CTC Cycle 5 Evaluation Criteria
D. Alameda CTC Cycle 5 Programming Schedule
# LIFELINE TRANSPORTATION PROGRAM CYCLE 5 GUIDELINES
## FY 2017 AND FY 2018

January 2018

## Table of Contents

1. PROGRAM GOAL........................................................................................................... 3
2. PROGRAM ADMINISTRATION..................................................................................... 4
3. FUNDING APPORTIONMENT AND AVAILABILITY.................................................. 4
4. ELIGIBLE RECIPIENTS/SUBRECIPIENTS.................................................................... 5
5. STA AND FTA SECTION 5307 PROGRAMMING PROCESS........................................ 6
6. ELIGIBLE ACTIVITIES..................................................................................................... 7
7. LOCAL MATCHING REQUIREMENTS........................................................................... 8
8. COORDINATED PLANNING......................................................................................... 9
9. GRANT APPLICATION.................................................................................................... 9
10. APPLICATION EVALUATION....................................................................................... 10
11. COUNTYWIDE PROGRAM OF PROJECTS................................................................. 10
12. POLICY BOARD ADOPTION....................................................................................... 10
13. PROJECT DELIVERY................................................................................................... 11
14. PROJECT OVERSIGHT.............................................................................................. 11
15. PERFORMANCE MEASURES...................................................................................... 12
16. FUND ADMINISTRATION.......................................................................................... 12
17. COMPLIANCE WITH FEDERAL REQUIREMENTS.................................................... 13
18. TIMELINE..................................................................................................................... 14

Appendix 1. Funding Source Information
Appendix 2. Standard Evaluation Criteria
1. **PROGRAM GOAL.** The Lifeline Transportation Program is intended to fund projects that result in improved mobility for low-income residents of the nine San Francisco Bay Area counties.

The Lifeline Program supports community-based transportation projects that:

- Are developed through a collaborative and inclusive planning process that engages a broad range of stakeholders such as public agencies, transit operators, community-based organizations and residents, and outreach to underrepresented communities.
- Improve a range of transportation choices by adding new or expanded services including but not limited to: enhanced fixed route transit services, first-and last-mile shuttles, taxi voucher programs, and other eligible projects.
- Address transportation gaps and/or barriers identified in Community-Based Transportation Plans (CBTP) or other substantive local planning efforts involving focused outreach to low-income populations such as countywide or regional welfare-to-work transportation plans, the Coordinated Public Transit-Human Services Transportation Plan or other documented assessment of need. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable. A map of communities of concern (CoC) is included in the Equity Analysis Report for Plan Bay Area 2040, which is available at [http://2040.planbayarea.org/sites/default/files/2017-07/Equity_Report_PBA%202040%207-2017.pdf](http://2040.planbayarea.org/sites/default/files/2017-07/Equity_Report_PBA%202040%207-2017.pdf)
2. **PROGRAM ADMINISTRATION.** The Lifeline Program will be administered by county congestion management agencies (CMAs) or other designated county-wide agencies as follows:

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

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

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

---

\(^1\) The Moving Ahead for Progress in the 21st Century (MAP-21) federal transportation authorizing legislation eliminated the FTA Job Access and Reverse Commute (JARC) program (Section 5316) and combined JARC functions and funding with the Urbanized Area Formula (Section 5307) and the Non-urbanized Area Formula (Section 5311) programs. JARC projects were made eligible for 5307 funding, and, consistent with MTC’s Transit Capital Priorities (TCP) Process and Criteria (MTC Resolution Nos. 4242), in the and FY2016-17 and FY2017-18 Section 5307 programs, a portion of the Bay Area’s urbanized area funds have been set aside for the Lifeline program.

\(^2\) FTA Section 5307 funds are apportioned by urbanized area (UA), so the distribution of 5307 funds will also need to take UA boundaries into consideration.
Figure 1. County and Share of Regional Poverty Population

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

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

b. Participatory Budgeting. Subject to funding available from a proposed 2018 Caltrans Planning Grant, MTC will pilot a voluntary participatory budgeting (PB) process. The participatory budgeting process enables residents in Communities of Concern to develop and vote on project priorities working through their CMA’s Community-Based Transportation Planning process. Selected projects are then funded as part of an available/dedicated budget. MTC will set aside up to $1 million off the top from the Lifeline Transportation Program for projects identified through this pilot. Projects identified through the PB process will be presented to the Commission at a future date. CMA’s that want to participate in this pilot should contact MTC staff by January 30, 2018.

c. Local Fund Exchanges. Consistent with MTC Resolution No. 3331, MTC will allow County Lifeline Program Administrators to use local fund exchanges to fund projects that are not otherwise eligible for the state and federal funds in Cycle 5. Lifeline Program Administrators must notify MTC about their intent to exchange funds, and MTC staff will review and approve the exchanges on a case-by-case basis. MTC staff is supportive of these fund exchanges to the extent that the exchange projects meet the spirit of the Lifeline Transportation Program.

4. ELIGIBLE RECIPIENTS/SUBRECIPIENTS

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

Non-profit organizations and Cities/Counties that are not eligible TDA Article 4, 4.5 or 8 claimants are only eligible for STA funds if they partner with an eligible STA recipient
(e.g., a transit operator) that is willing to serve as the recipient of the funds and pass through the funds to the non-profit or City/County, and if they have an eligible project.

b. **FTA Section 5307.** Transit operators that are FTA grantees are the only eligible recipients of FTA Section 5307 funds.

Non-profit organizations and public agencies that are not FTA grantees are only eligible for Section 5307 funds if they partner with an FTA grantee (transit operator) that is willing to serve as the direct recipient of the Section 5307 funds and pass through the funds to the sub recipient non-profit or public agency.

Section 5307 recipients/sub recipients will be required to have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and provide it during the application process.³ A DUNS number may be obtained from D&B by telephone (866-705-5711) or the Internet (http://fedgov.dnb.com/webform).

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

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

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

Further guidance for public involvement is contained in MTC’s Public Participation Plan. Additionally, a list of Caltrans best practices for community engagement can be accessed through the Caltrans Final Sustainable Communities Grant Guide at:


---

³ A Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a unique, non-indicative 9-digit identifier issued and maintained by D&B that verifies the existence of a business entity. The DUNS number is a universal identifier required for Federal financial assistance applicants, as well as recipients and their direct sub-recipients.
CMAs are required to document the outreach effort undertaken for the local call for projects and provide MTC with a description of how the public was involved in the process for nominating and/or commenting on projects selected for Lifeline Transportation Program funding.

a. **Competitive Process.** STA and FTA Section 5307 projects must be selected through an open, competitive process, with the following exception: In an effort to address the sustainability of fixed-route transit operations, Lifeline Program Administrators may elect to allocate some or all of their STA and/or Section 5307 funds directly to transit operators for Lifeline transit operations within the county. Projects must be identified as Lifeline projects before transit operators can claim funds, and will be subject to Lifeline Transportation Program reporting requirements.

b. **STA Contingency Programming.** Due to the uncertainty of forecasting STA revenues, the Lifeline Program Administrators will program 95 percent of their county's estimated STA amount, and develop a contingency plan for the remaining five percent should it be available. Contingency project(s) are to be identified and separately listed should the contingency funds become available. Contingency funds are not to be dispersed throughout all Lifeline projects.

6. **ELIGIBLE ACTIVITIES**

a. **Eligible operating projects.** Eligible operating projects, consistent with requirements of funding sources, may include (but are not limited to) new or enhanced fixed route transit services, restoration of Lifeline-related transit services eliminated due to budget shortfalls, shuttles, taxi voucher programs, auto loan programs, etc. See Appendix 1 for additional details about eligibility by funding source.

b. **Eligible capital projects.** Eligible capital projects, consistent with requirements of funding sources, may include (but are not limited to) purchase of vehicles; bus stop enhancements; rehabilitation, safety or modernization improvements; or other enhancements to improve transportation access for residents of low-income communities. See Appendix 1 for additional details about eligibility by funding source.

c. **FTA Section 5307 restrictions**

   (1) **Job Access and Reverse Commute requirement.** For the Lifeline Transportation Program, the use of FTA Section 5307 funds is restricted solely to Job Access and Reverse Commute (JARC)-type projects. For details regarding eligible FTA Section 5307 JARC-type projects, see the FTA Section 5307 Circular (FTA C 9030.1E), Chapter IV, Section 5 available at [https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FINAL_FTA_circular9030.1E.pdf](https://www.transit.dot.gov/sites/fta.dot.gov/files/docs/FINAL_FTA_circular9030.1E.pdf) Also see Appendix 1 for detailed eligibility requirements by fund source.
(2) **New and existing services.** Consistent with the FTA Section 5307 circular (FTA C 9030.1E), Chapter IV, Section 5.a, eligible job access and reverse commute projects must provide for the development or maintenance of eligible job access and reverse commute services. Recipients may not reclassify existing public transportation services that have not received funding under the former Section 5316 program as job access and reverse commute services in order to qualify for operating assistance. In order to be eligible as a job access and reverse commute project, a proposed project must qualify as either a “development project” or “maintenance project” as follows:

i. **Development Projects.** “Development of transportation services” means new projects that meet the statutory definition and were not in service as of the date Fixing America’s Surface Transportation (FAST) Act, became effective December 4, 2015. This includes projects that expand the service area or hours of operation for an existing service.

ii. **Maintenance Projects.** “Maintenance of transportation services” means projects that continue and maintain job access and reverse commute projects and services that received funding under the former Section 5316 Job Access and Reverse Commute program.

7. **LOCAL MATCHING REQUIREMENTS.** The Lifeline Transportation Program requires a minimum local match of 20% of the total project cost. Lifeline Transportation Program funds may cover a maximum of 80% of the total project cost.

   a. **Exceptions to 20% requirement.** There are two exceptions to the 20% local match requirement:

      (1) FTA Section 5307 operating projects require a 50% match. However, consistent with MTC’s approach in previous funding cycles, Lifeline Program Administrators may use STA funds to cover the 30% difference for projects that are eligible for both 5307 and STA funds.

      (2) All auto-related projects require a 50% match.

   b. **Sources of local match.** Project sponsors may use certain federal, state or local funding sources (Transportation Development Act, operator controlled State Transit Assistance, local sales tax revenue, etc.) to meet the match requirement. In-kind contributions such as the market value of in-kind contributions integral to the project may be counted as a contribution toward local share.

   For FTA Section 5307 projects, the local match can be non-Department of Transportation (DOT) federal funds. Eligible sources of non-DOT federal funds include: Temporary
Assistance to Needy Families (TANF), Community Services Block Grants (CSBG) and Social Services Block Grants (SSBG) administered by the US Department of Health and Human Services or Community Development Block grants (CDBG) and HOPE VI grants administered by the US Department of Housing and Urban Development (HUD). Grant funds from private foundations may also be used to meet the match requirement.

Transportation Development Credits (“Toll Credits”) are not an eligible source of local match for the Lifeline Transportation Program.

8. COORDINATED PLANNING. Under FAST Act, projects funded with Section 5307 funds are no longer required by FTA to be derived from a locally developed, coordinated public transit-human services transportation plan (“Coordinated Plan”); however, in the Bay Area’s Coordinated Plan, MTC continues to identify the transportation needs of individuals with disabilities, older adults, and people with low incomes, and to provide strategies for meeting those local needs. Therefore, projects funded with Lifeline Transportation Program funds should be consistent with the transportation needs, proposed solutions, and enhanced coordination strategies presented in the Coordinated Plan to the extent practicable considering any other funding source restrictions.

The Bay Area’s Coordinated Plan is being updated in early 2018. The previous version approved in March 2013 is available at: [https://mtc.ca.gov/sites/default/files/Coord_Plan_Update.pdf](https://mtc.ca.gov/sites/default/files/Coord_Plan_Update.pdf), and the draft update to the plan is available at: [https://mtc.ca.gov/our-work/plans-projects/other-plans/coordinated-public-transit-human-services-transportation-plan](https://mtc.ca.gov/our-work/plans-projects/other-plans/coordinated-public-transit-human-services-transportation-plan)

Mobility management was a key coordination strategy recommended in the 2013 plan update and in the draft 2018 plan. The designation of lead mobility managers or Consolidated Transportation Service Agencies (CTSAs) at the County or sub regional level is an essential component of that strategy. Consistent with those recommendations, the Lifeline Program Administrators may, at their discretion, choose to award extra points to—or otherwise give priority to—projects sponsored by or coordinated with County or sub regional Mobility Managers or CTSAs.

Transportation needs specific to senior and disabled residents of low-income communities may also be considered when funding Lifeline projects.

9. GRANT APPLICATION. To ensure a streamlined application process for project sponsors, a universal application form will be used, but, with review and approval from MTC, may be modified as appropriate by the Lifeline Program Administrator for inclusion of county-specific grant requirements.

Applicants with multi-county projects must notify the relevant Lifeline Program Administrators and MTC about their intent to submit a multi-county project, and submit copies of their application to all of the relevant counties. If the counties have different application forms, the applicant can submit the same form to all counties, but should contact the Lifeline Program Administrators to determine the appropriate form. If the counties have
different application deadlines, the applicant should adhere to the earliest deadline. The Lifeline Program Administrators will work together to score and rank the multi-county projects, and, if selected, to determine appropriate funding. (Note: Multi-county operators with projects that are located in a single county need only apply to the county where the project is located.)

10. APPLICATION EVALUATION

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

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

See Appendix 2 for the detailed standard evaluation criteria.

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

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

12. POLICY BOARD ADOPTION
a. **Project sponsor resolution of local support.** Prior to MTC’s programming of Lifeline Cycle 5 funds (STA and FTA Section 5307) to any project, MTC requires that the project sponsor adopt and submit a resolution of local support. The resolution shall state that approved projects not only exemplify Lifeline Program goals, but that the local project sponsors understand and agree to meeting all project delivery, funding match and eligibility requirements, and obligation and reporting deadlines and requirements. MTC will provide a resolution of local support template. The County Lifeline Program Administrators have the option of collecting the resolutions of local support from project sponsors along with the project applications, or after the project is selected by the County for funding.

b. **Lifeline Program Administrator/CMA Board Resolution and Concurrence**

(1) STA and FTA Section 5307. Projects recommended for STA and FTA Section 5307 funding must be submitted to and approved by the respective governing board of the Lifeline Program Administrator.

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

a. **FTA Section 5307.** Project sponsors must expend the Lifeline Transportation Program Section 5307 funds within three years of the FTA grant award or execution of agreement with pass-through agency, whichever is applicable. To prevent the Section 5307 funds from lapsing on the federal obligation deadline, MTC reserves the right to reprogram funds if direct recipients fail to submit their FTA grant by the following dates:
   - August 2021 for FY2017 funds
   - August 2022 for FY2018 funds

Project sponsors are encouraged to submit grant applications at least 90 days prior to the close of FTA’s Transit Award Management System (TrAMS) due to the time need for application review by USDOT and the US Department of Labor prior to any grants being awarded. Any FTA Section 5307 funds not obligated in a grant by the end of five years from the year of appropriation by Congress will lapse and return to FTA for reallocation in future years. (i.e. funds appropriated by Congress in FY2017 will lapse at the end of Federal Fiscal Year 2022.) Direct recipients are responsible for carrying out the terms of their grants.

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

14. **PROJECT OVERSIGHT.** For Lifeline projects funded by STA and FTA Section 5307, Lifeline Program Administrators are responsible for programmatic and fiscal oversight, and for monitoring project sponsors in meeting the MTC obligation deadlines and project...
delivery requirements. In addition, Lifeline Program Administrators will ensure that projects substantially carry out the scope described in the grant applications for the period of performance. All project budget and scope of work changes must be approved by the MTC Commission; however the Lifeline Program Administrators are responsible for approving budget and scope of work changes prior to MTC’s authorization. All scope changes must be fully explained and must demonstrate consistency with Lifeline Transportation Program goals.

See Appendix 1 for detailed accountability and reporting requirements by funding source.

15. **PERFORMANCE MEASURES.** As part of the Call for Projects, applicants will be asked to establish project goals, and to identify basic performance indicators to be collected in order to measure the effectiveness of the Lifeline projects. At a minimum, performance measures for service-related projects would include: documentation of new “units” of service provided with the funding (e.g., number of trips, service hours, workshops held, car loans provided), cost per unit of service, and a qualitative summary of service delivery procedures employed for the project. For capital projects, project sponsors are responsible for establishing milestones and reporting on the status of project delivery. Project sponsors are responsible for satisfying all reporting requirements, as referenced in Appendix 1. Lifeline Program Administrators will forward all reports containing performance measures to MTC for review and overall monitoring of the Lifeline Transportation Program.

16. **FUND ADMINISTRATION**

a. **FTA Section 5307.** Project sponsors are responsible for entering projects into MTC’s Fund Management System for inclusion in the Transportation Improvement Program (TIP). Transit operators that are FTA grantees are the only eligible recipients of Section 5307 funds. FTA grantees will act as direct recipients, and will submit grant applications directly to FTA.

For projects funded with FTA Section 5307 funds that are sponsored by non-FTA grantees (e.g., nonprofits or other local government entities), the FTA grantee who was identified as the partner agency at the time of the application will submit the grant application to FTA directly and, following FTA approval of the grant, will enter into funding agreements with the sub recipient project sponsor.

FTA recipients are responsible for following all applicable federal requirements and for ensuring that their sub recipients comply with all federal requirements. See Section 18 for federal compliance requirements.

b. **STA.** For transit operators receiving STA funds, MTC will allocate funds directly through the annual STA claims process. For other STA eligible projects administered by sponsors who are not STA eligible recipients, the project sponsor is responsible for identifying a local transit operator who will act as a pass-through for the STA funds, and
will likely enter into a funding agreement directly with the project sponsor. Project
sponsors are responsible for entering their own STA projects into the TIP.

17. COMPLIANCE WITH FEDERAL REQUIREMENTS.

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

b. **Project Sponsor Responsibilities.** FTA Section 5307 applicants should be prepared to
abide by all applicable federal requirements as specified in 49 U.S.C. Section 5307; FTA
Circulars C 9030.1E, 4702.1B and 4703.1; the most current FTA Master Agreement; and
the most current Certifications and Assurances for FTA Assistance Programs.

FTA Section 5307 direct recipients will be responsible for adhering to FTA requirements
through their agreements and grants with FTA directly and for ensuring that all sub
recipients and third-party contractors comply with FTA requirements.
18. **TIMELINE.** The anticipated timeline for Cycle 5 is as follows:

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

* Dates subject to change depending on State and Federal deadlines and availability of funds.
** CMA Board approval and concurrence may be pending at the time of deadline.
*** Due date for final 2017 TIP amendment tentatively scheduled for mid-June 2018, subject to change. If projects are not included in final 2017 TIP amendment, the projects can be submitted via FMS for initial 2019 TIP in late 2018.
## Appendix 1
### Lifeline Transportation Program Cycle 5
#### Funding Source Information

<table>
<thead>
<tr>
<th>Purpose of Fund Source</th>
<th>State Transit Assistance (STA)</th>
<th>FTA Section 5307</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>To improve existing public transportation services and encourage regional transportation coordination</td>
<td>To support the continuation and expansion of public transportation services in the United States</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Detailed Guidelines</th>
<th>State Transit Assistance (STA)</th>
<th>FTA Section 5307</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Use of Funds</th>
<th>State Transit Assistance (STA)</th>
<th>FTA Section 5307</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>For public transportation purposes including community transit services</td>
<td>For the Lifeline Transportation Program, the use of FTA Section 5307 funds is restricted solely to Job Access and Reverse Commute-type projects that support the development and maintenance of transportation services designed to transport welfare recipients and eligible low income individuals to and from jobs and activities related to their employment</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Eligible Recipients</th>
<th>State Transit Assistance (STA)</th>
<th>FTA Section 5307</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Transit operators</td>
<td>• Transit operators that are FTA grantees</td>
</tr>
<tr>
<td></td>
<td>• Consolidated Transportation Service Agencies (CTSAs)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Cities and Counties if eligible to claim TDA Article 4, 4.5 or 8 funds</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Private non-profit organizations</td>
<td>• Private non-profit organizations</td>
</tr>
<tr>
<td></td>
<td>• Cities and counties that are not eligible to claim TDA Article 4, 4.5 or 8 funds</td>
<td>• Public agencies that are not FTA grantees (e.g., cities, counties)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Eligible Sub recipients (must partner with an eligible recipient that will serve as a pass-through agency)</th>
<th>State Transit Assistance (STA)</th>
<th>FTA Section 5307</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>• Private non-profit organizations</td>
<td>• Private non-profit organizations</td>
</tr>
<tr>
<td></td>
<td>• Cities and counties that are not eligible to claim TDA Article 4, 4.5 or 8 funds</td>
<td>• Public agencies that are not FTA grantees (e.g., cities, counties)</td>
</tr>
<tr>
<td>State Transit Assistance (STA)</td>
<td>FTA Section 5307</td>
<td></td>
</tr>
<tr>
<td>-------------------------------</td>
<td>------------------</td>
<td></td>
</tr>
<tr>
<td><strong>Eligible Projects</strong></td>
<td><strong>Transit Capital and Operations, including:</strong></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• New, continued or expanded fixed-route service</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Purchase of vehicles</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Shuttle service if available for use by the general public</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Purchase of technology (e.g., GPS, other ITS applications)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Capital projects such as bus stop improvements, including bus benches, shelters, etc.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Various elements of mobility management, if consistent with STA program purpose and allowable use. These may include planning, coordinating, capital or operating activities.</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>New and existing services.</strong> Eligible job access and reverse commute projects must provide for the development or maintenance of eligible job access and reverse commute services. Recipients may not reclassify existing public transportation services that have not received funding under the former Section 5316 program as job access and reverse commute services in order to qualify for operating assistance. In order to be eligible as a job access and reverse commute project, a proposed project must qualify as either a “development project” or a “maintenance project” (see Section 7.c.(2) of these guidelines for details regarding “development” and “maintenance” projects).</td>
<td></td>
</tr>
<tr>
<td></td>
<td><strong>Capital and Operating projects.</strong> Projects that comply with the requirements above may include, but are not limited to:</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Late-night &amp; weekend service;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Guaranteed ride home service;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Shuttle service;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Expanding fixed route public transit routes, including hours of service or coverage;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Demand-responsive van service;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Ridesharing and carpooling activities;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Transit-related aspects of bicycling;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Administration and expenses for voucher programs;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Local car loan programs;</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Intelligent Transportation Systems (ITS);</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Marketing; and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Mobility management.</td>
<td></td>
</tr>
</tbody>
</table>
| | See FTA C 9030.1E, Chapter IV, Section 5307 for details regarding eligible projects.
<table>
<thead>
<tr>
<th>Lifeline Program Local Match</th>
<th>State Transit Assistance (STA)</th>
<th>FTA Section 5307</th>
</tr>
</thead>
<tbody>
<tr>
<td>Local Match</td>
<td>20%</td>
<td>• 50% for operating projects (may use STA funds to cover up to 30% if project is eligible for both JARC and STA)</td>
</tr>
<tr>
<td>Estimated timing for availability of funds to project sponsor</td>
<td>Transit operators, CTSAs, and eligible cities and counties can initiate claims for FY17 and FY18 funds immediately following MTC approval of program of projects. For sub recipients, the eligible recipient acting as fiscal agent will likely initiate a funding agreement following MTC approval of program of projects. Funds will be available on a reimbursement basis after execution of the agreement.</td>
<td>Following MTC approval of the program of projects, project sponsor will submit project in FMS for inclusion in the TIP. Following Federal TIP approval, FTA grantees must submit FTA grants. FTA grantees can begin their projects after the funds are obligated in an FTA grant. For sub recipients, the FTA grantee acting as fiscal agent will likely initiate a funding agreement following FTA grant award. Funds will be available on a reimbursement basis after execution of the agreement.</td>
</tr>
<tr>
<td>Accountability &amp; Reporting Requirements</td>
<td>Transit operators and eligible cities and counties must submit annual performance (i.e., ridership) statistics for the project, first to Lifeline Program Administrators for review, and then to MTC along with annual claim. Depending on the arrangement with the pass-through agency, sub recipients will likely submit quarterly performance reports with invoices, first to the pass-through agency for reimbursement, and then to Lifeline Program Administrators for review.</td>
<td>FTA grantees are responsible for following all applicable federal requirements for preparing and maintaining their Section 5307 grants. MTC and/or the Lifeline Program Administrators may request copies of FTA grantees’ quarterly Section 5307 grant reports to FTA. Depending on the arrangement with the pass-through agency, sub recipients will likely submit quarterly performance reports with invoices, first to Lifeline Program Administrators for review, and then to the pass-through agency for reimbursement. Sub recipients will also submit Title VI reports annually to the pass-through agency.</td>
</tr>
</tbody>
</table>

**Note:** Information on this chart is accurate as of January 2018. MTC will strive to make Lifeline Program Administrators aware of any changes to fund source guidelines that may be enacted by the appropriating agencies (i.e. State of California, Federal Transit Administration).
Appendix 2
Lifeline Transportation Program Cycle 5
Standard Evaluation Criteria

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

a. **Project Need/Goals and Objectives:** Applicants should describe the unmet transportation need or gap that the proposed project seeks to address and the relevant planning effort that documents the need. Describe how project activities will mitigate the transportation need. Capital or operations projects (sponsored by public transit operators or in partnership with non-profits or cities) that support and augment but are not traditional fixed route projects may be given extra points under this criteria. Project application should clearly state the overall program goals and objectives, and demonstrate how the project is consistent with the goals of the Lifeline Transportation Program.

b. **Community-Identified Priority:** Priority should be given to projects that directly address transportation gaps and/or barriers identified through a Community-Based Transportation Plan (CBTP) or other substantive local planning effort involving focused inclusive engagement to low-income populations. Applicants should identify the CBTP or other substantive local planning effort, as well as the priority given to the project in the plan. Other projects may also be considered, such as those that address transportation needs identified in countywide or regional welfare-to-work transportation plans, the Coordinated Public Transit-Human Services Transportation Plan, or other documented assessment of needs within designated communities of concern. Findings emerging from one or more CBTPs or other relevant planning efforts may also be applied to other low-income areas, or otherwise be directed to serve low-income constituencies within the county, as applicable. A map of communities of concern (CoC) is included in the Equity Analysis Report for Plan Bay Area 2040, is available at: http://2040.planbayarea.org/sites/default/files/2017-07/Equity_Report_PBA%202040%20_7-2017.pdf

c. **Implementation Plan and Project Management Capacity:** For projects seeking funds to support program operations, applicants must provide a well-defined service operations plan, and describe implementation steps and timelines for carrying out the plan. For projects seeking funds for capital purposes, applicants must provide an implementation plan, milestones and timelines for completing the project.
Priority should be given to projects that are ready to be implemented in the timeframe that the funding is available.

Project sponsors should describe and provide evidence of their organization’s ability to provide and manage the proposed project, including experience providing services for low-income persons, and experience as a recipient of state or federal transportation funds. For continuation projects that have previously received Lifeline funding, project sponsor should describe project progress and outcomes.

d. **Coordination and Program Outreach:** Proposed projects will be evaluated based on their ability to coordinate with other community transportation and/or social service resources. Applicants should clearly identify project stakeholders, and how they will keep stakeholders involved and informed throughout the project. Applicants should also describe how the project will be marketed and promoted to the public.

e. **Cost-Effectiveness and Performance Indicators:** The project will be evaluated based on the applicant’s ability to demonstrate that the project is the most appropriate way in which to address the identified transportation need, and is a cost-effective approach. Applicants must also identify clear, measurable outcome-based performance measures to track the effectiveness of the service in meeting the identified goals. A plan should be provided for ongoing monitoring and evaluation of the service, as well as steps to be taken if original goals are not achieved.

f. **Project Budget/Sustainability:** Applicants must submit a clearly defined project budget, indicating anticipated project expenditures and revenues, including documentation of matching funds. Proposals should address long-term efforts and identify potential funding sources for sustaining the project beyond the grant period.
This page intentionally left blank
Attachment A – Lifeline Transportation Program  
Cycle 5 Funding  
FY2016-17 through FY2017-18

<table>
<thead>
<tr>
<th>Fund Source</th>
<th>FY2017</th>
<th>FY2018</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>STA(^1)</td>
<td>$7,293,727</td>
<td>$8,260,121</td>
<td>$15,553,848</td>
</tr>
<tr>
<td>5307(^2)</td>
<td>$3,368,200</td>
<td>$3,437,064</td>
<td>$6,805,264</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>$10,661,927</strong></td>
<td><strong>$11,697,185</strong></td>
<td><strong>$22,359,112</strong></td>
</tr>
</tbody>
</table>

Notes:
(1) FY2017 & FY2018 total STA revenue generation amounts are consistent with those in the most recent MTC Fund Estimate (MTC Resolution No. 4268 - 11/15/2017). Due to lower than expected revenue in Lifeline Cycle 4 FY 2016, funds in FY 2017 are being used to complete Cycle 4. The remaining FY 2017 funds and all FY 2018 funds are available for Lifeline Cycle 5.
(2) The FY2017 FTA Section 5307 amount is based on programming in the Transit Capital Priorities Program (Res. 4272). The FY2018 Section 5307 amount is preliminary, based on proposed programming being presented in January 2018.
<table>
<thead>
<tr>
<th>County</th>
<th>Share of Regional Low Income Population</th>
<th>STA (2)</th>
<th>5307</th>
<th>STA</th>
<th>5307</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Actual</td>
<td>Actual</td>
<td>Estimate</td>
<td>Estimate</td>
<td>Estimate</td>
<td></td>
</tr>
<tr>
<td>Alamada</td>
<td>23.1%</td>
<td>1,682,720</td>
<td>749,748</td>
<td>1,674,967</td>
<td>765,077</td>
<td>4,877,512</td>
</tr>
<tr>
<td>Contra Costa</td>
<td>14.7%</td>
<td>1,075,640</td>
<td>479,259</td>
<td>1,070,684</td>
<td>489,057</td>
<td>3,114,639</td>
</tr>
<tr>
<td>Marin</td>
<td>2.7%</td>
<td>193,466</td>
<td>86,200</td>
<td>192,575</td>
<td>87,963</td>
<td>560,204</td>
</tr>
<tr>
<td>Napa</td>
<td>2.1%</td>
<td>152,057</td>
<td>74,438</td>
<td>151,356</td>
<td>75,960</td>
<td>453,811</td>
</tr>
<tr>
<td>San Francisco</td>
<td>12.2%</td>
<td>890,405</td>
<td>396,726</td>
<td>886,302</td>
<td>404,837</td>
<td>2,578,270</td>
</tr>
<tr>
<td>San Mateo</td>
<td>8.4%</td>
<td>612,417</td>
<td>272,866</td>
<td>609,595</td>
<td>278,445</td>
<td>1,773,323</td>
</tr>
<tr>
<td>Santa Clara</td>
<td>22.5%</td>
<td>1,640,147</td>
<td>782,739</td>
<td>1,632,590</td>
<td>798,743</td>
<td>4,854,220</td>
</tr>
<tr>
<td>Solano</td>
<td>6.6%</td>
<td>484,079</td>
<td>316,785</td>
<td>481,849</td>
<td>323,261</td>
<td>1,605,975</td>
</tr>
<tr>
<td>Sonoma</td>
<td>7.7%</td>
<td>562,796</td>
<td>209,439</td>
<td>560,203</td>
<td>213,721</td>
<td>1,546,159</td>
</tr>
<tr>
<td>Participatory Budgeting Pilot</td>
<td></td>
<td>-</td>
<td>-</td>
<td>1,000,000</td>
<td>-</td>
<td>1,000,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>100.0%</td>
<td>7,293,727</td>
<td>3,368,200</td>
<td>8,260,121</td>
<td>3,437,064</td>
<td>22,359,112</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>County &amp; Share of Regional Low Income Population</th>
<th>FY 2017 (100%)</th>
<th>FY 2018 (95%)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Actual</td>
<td>Estimate</td>
<td>Estimate</td>
</tr>
<tr>
<td>Alamada</td>
<td>23.1%</td>
<td>1,682,720</td>
<td>1,591,218</td>
</tr>
<tr>
<td>Contra Costa</td>
<td>14.7%</td>
<td>1,075,640</td>
<td>1,017,149</td>
</tr>
<tr>
<td>Marin</td>
<td>2.7%</td>
<td>193,466</td>
<td>182,946</td>
</tr>
<tr>
<td>Napa</td>
<td>2.1%</td>
<td>152,057</td>
<td>143,789</td>
</tr>
<tr>
<td>San Francisco</td>
<td>12.2%</td>
<td>890,405</td>
<td>841,987</td>
</tr>
<tr>
<td>San Mateo</td>
<td>8.4%</td>
<td>612,417</td>
<td>579,115</td>
</tr>
<tr>
<td>Santa Clara</td>
<td>22.5%</td>
<td>1,640,147</td>
<td>1,550,961</td>
</tr>
<tr>
<td>Solano</td>
<td>6.6%</td>
<td>484,079</td>
<td>457,757</td>
</tr>
<tr>
<td>Sonoma</td>
<td>7.7%</td>
<td>562,796</td>
<td>532,193</td>
</tr>
<tr>
<td>Participatory Budgeting Pilot</td>
<td></td>
<td>0</td>
<td>1,000,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td>100.0%</td>
<td>7,293,727</td>
<td>7,897,115</td>
</tr>
</tbody>
</table>

---

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

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

<table>
<thead>
<tr>
<th>MTC Standard Criteria:</th>
<th>Alameda CTC Weight</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project need/goals and objectives</td>
<td>30%</td>
</tr>
<tr>
<td>Community-identified priority</td>
<td>10%</td>
</tr>
<tr>
<td>Implementation plan and project management capacity</td>
<td>10%</td>
</tr>
<tr>
<td>Project budget/sustainability</td>
<td>10%</td>
</tr>
<tr>
<td>Cost-effectiveness and performance indicators</td>
<td>10%</td>
</tr>
<tr>
<td>Coordination and program outreach</td>
<td>5%</td>
</tr>
<tr>
<td><strong>Sub-total MTC Criteria</strong></td>
<td><strong>75%</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Alameda CTC Additional Criteria:</th>
<th>Alameda CTC Weight</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Demand</td>
<td>10%</td>
</tr>
<tr>
<td>Project Readiness</td>
<td>10%</td>
</tr>
<tr>
<td>Matching funds above minimum required</td>
<td>5%</td>
</tr>
<tr>
<td><strong>Sub-total Alameda CTC Criteria</strong></td>
<td><strong>25%</strong></td>
</tr>
</tbody>
</table>

**Grand Total** 100%

**Notes:**

1. The proposed Cycle 5 criteria and weighting are unchanged from Cycle 4.
DATE: February 5, 2018

TO: Alameda County Transportation Commission Board Members

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

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

Recommendation

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

Summary

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

Background

TFCA funding is generated by a four dollar vehicle registration fee collected by the Air District. Projects eligible for TFCA funding are to result in the reduction of motor vehicle emissions and achieve “surplus” emission reductions beyond what is currently required through regulations, ordinances, contracts, or other legally binding obligations. Projects typically funded with TFCA include shuttles, bicycle lanes and lockers, transit signal priority, signal timing and travel demand management (TDM) programs. As the TFCA County Program Manager (CPM) for Alameda County, the Alameda CTC is responsible for programming 40 percent of the four dollar vehicle registration fee that is collected in Alameda County for this program. A total of 6.25% percent of new revenue is set aside for the Alameda CTC’s administration of the program. Per the distribution formula for
Alameda County’s TFCA funding, 70 percent of the available funds are to be allocated to the cities/county based on population, with a minimum of $10,000 to each jurisdiction. The remaining 30 percent of funds are to be allocated to transit-related projects on a discretionary basis. A jurisdiction’s projected future share may be borrowed against in order for a project to receive more funds in the current year, which can help facilitate the required annual programming of all available funds.

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

**FY 2018-19 Revenue**

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

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

**FY 2018-19 Program Development**

The Air District’s TFCA CPM Policies requires the revenue received annually from the Air District to be fully programmed on an annual basis. Any unprogrammed balance remaining after the Air District’s annual programming deadline may be redirected by the Air District to other projects in the region. The programming of TFCA funding has been incorporated into the Alameda CTC’s biennial Comprehensive Investment Plan (CIP)
process. The 2018 CIP Fund Estimate included $4 million from TFCA which represented 2 years of TFCA revenue. Through the 2018 CIP evaluation process only one year’s worth of projects eligible for TFCA funding could be identified. Staff is currently working with the Alameda County Technical Advisory Committee (ACTAC) to identify candidate projects for the FY 2018-19 funding. The draft FY 2018-19 TFCA fund estimate has been distributed to ACTAC representatives along with a request to propose candidate projects and provide project information by the end of March 2018. Staff will evaluate the proposed projects for TFCA cost-effectiveness and include a recommended FY 2018-19 TFCA program in the 2018 CIP Update, scheduled for consideration by the Commission in May 2018.

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

Next Steps

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

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

Attachments

A.  Alameda CTC Resolution 18-002
B.  Alameda CTC FY 2018-19 TFCA Expenditure Plan Application
C.  Alameda CTC Draft FY 2018-19 TFCA Fund Estimate
D.  Air District’s FY 2018-19 TFCA County Program Manager Fund Policies
This page intentionally left blank
ALAMEDA COUNTY TRANSPORTATION COMMISSION

RESOLUTION 18-002

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

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

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

BE IT FURTHER RESOLVED, the Alameda CTC Commission will approve a program of projects within six months of the Air District's approval of the FY 2018-19 Expenditure Plan Application; and

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

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

AYES:  NOES:  ABSTAIN:  ABSENT:

SIGNED:  ATTEST:

Richard Valle
Chair, Alameda CTC

Vanessa Lee
Clerk of the Commission
This page intentionally left blank
SUMMARY INFORMATION

County Program Manager Agency Name: Alameda County Transportation Commission

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

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

PART B: INTEREST FOR PROGRAMMING AND TFCA FUNDS AVAILABLE FOR REPROGRAMMING
4. Total available for programming/reprogramming to other projects. Line 4: $445,759
   a. Amount available from previously funded projects: $400,426.06
      (Note: Reprogrammed funds originating from pre-2006 projects are not subject to the six-month allocation deadline.)
   b. Interest income earned on TFCA funds in CY 2017: $45,333.26
      ('a' plus 'b' equals Line 4.)

PART C: TOTAL AVAILABLE TFCA FUNDS
5. Total Available TFCA Funds (Sum of Lines 3 and 4) Line 5: $2,401,045
   a. Estimated TFCA funds budgeted for administration: $122,205.38
      (Note: This amount may not exceed 6.25% of Line 3.)
   b. Estimated Total TFCA funds available for projects $2,278,839.95
      (Line 5 minus Line 5.a.)

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

Executive Director Signature: ________________________________ Date: ________________

---

1 The “Estimated TFCA funds budgeted for administration” amount is listed for informational purposes only. Per California Health and Safety Code Section 44233, County Program Managers must limit their administrative costs to no more than 6.25% of the actual total revenue received from the Air District.
## SUMMARY INFORMATION - ADDENDUM

Complete if there are TFCA Funds available for reprogramming.

<table>
<thead>
<tr>
<th>Project #</th>
<th>Project Sponsor/Grantee</th>
<th>Project Name</th>
<th>$ TFCA Funds Allocated</th>
<th>$ TFCA Funds Expended</th>
<th>$ TFCA Funds Available</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>16ALA00</td>
<td>Alameda CTC</td>
<td>FY 2015-16 Administration</td>
<td>$100,978.63</td>
<td>$96,642.11</td>
<td>$4,336.52</td>
<td>UB</td>
</tr>
<tr>
<td>14ALA08</td>
<td>Alameda CTC</td>
<td>East Bay Greenway</td>
<td>$142,000.00</td>
<td>$135,146.70</td>
<td>$6,853.30</td>
<td>UB</td>
</tr>
<tr>
<td>17ALA02</td>
<td>Alameda CTC</td>
<td>Countywide TDM Program iBike/ Carpool promotion</td>
<td>$105,000.00</td>
<td>$0.00</td>
<td>$105,000.00</td>
<td>CP</td>
</tr>
<tr>
<td>17ALA03</td>
<td>Albany</td>
<td>San Pablo Cycle Track</td>
<td>$123,000.00</td>
<td>$0.00</td>
<td>$123,000.00</td>
<td>CP</td>
</tr>
<tr>
<td>17ALA06</td>
<td>Oakland</td>
<td>Broadway Shuttle - Fri &amp; Sat Late Night Service</td>
<td>$13,500.00</td>
<td>$0.00</td>
<td>$13,500.00</td>
<td>CP</td>
</tr>
<tr>
<td>17ALA08</td>
<td>San Leandro</td>
<td>LINKS Shuttle</td>
<td>$104,000.00</td>
<td>$0.00</td>
<td>$104,000.00</td>
<td>CP</td>
</tr>
<tr>
<td>NA</td>
<td>NA</td>
<td>FY 2017-18 Balance</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$43,736.24</td>
<td>UB</td>
</tr>
</tbody>
</table>

TOTAL TFCA FUNDS AVAILABLE FOR REPROGRAMMING $400,426.06

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

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

**Notes:**
- 17ALA02 and 17ALA08: New/replacement TFCA grants were issued for these projects in FY 2017-18.
- 17ALA03: May be re-evaluated for TFCA in a future cycle once full funding has been secured.
- 17ALA06: Funding associated with cancelled service hours.
- A FY 2017-18 balance (un-programmed) resulted from a correction made to the approved FY 2017-18 program which lowered the total program amount. BAAQMD staff agreed that the balance was to be added to the FY 18/19 expenditure plan.
## Alameda CTC TFCA County Program Manager Fund: FY 2018-19 Draft Fund Estimate

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

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

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

Subtotal New Programming Capacity $1,833,081

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

**Calendar Year 2017 Interest Earned** $ 45,333

Total New Programming Capacity $1,882,750

### Totals

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

**Notes:**

1. Dept. of Finance (www.dof.ca.gov) population estimates as of 1/01/2017 (released May 2017).
2. Includes TFCA programming actions and returned funds from closed projects as of 10/31/17.
Appendix D: Board-Adopted TFCA County Program Manager Fund Policies for FYE 2019

Adopted November 1, 2017

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

BASIC ELIGIBILITY

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

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

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

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

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

Table 1: Maximum Cost-Effectiveness for FYE 2019

<table>
<thead>
<tr>
<th>Policy No.</th>
<th>Project Category</th>
<th>Maximum C-E ($/weighted ton)</th>
</tr>
</thead>
<tbody>
<tr>
<td>22</td>
<td>Alternative Fuel Light-Duty Vehicles</td>
<td>250,000</td>
</tr>
<tr>
<td>23</td>
<td>Reserved</td>
<td>Reserved</td>
</tr>
<tr>
<td>24</td>
<td>Alternative Fuel Heavy-Duty Vehicles and Buses</td>
<td>250,000</td>
</tr>
<tr>
<td>25</td>
<td>On-Road Goods Movement Truck Replacements</td>
<td>90,000</td>
</tr>
<tr>
<td>26</td>
<td>Alternative Fuel Infrastructure</td>
<td>250,000</td>
</tr>
<tr>
<td>27</td>
<td>Ridesharing Projects</td>
<td>150,000</td>
</tr>
<tr>
<td>28.a.-h.</td>
<td>Shuttle/Feeder Bus Service – Existing</td>
<td>200,000; 250,000 for services in CARE Areas or PDAs</td>
</tr>
<tr>
<td>29</td>
<td>Shuttle/Feeder Bus Service - Pilot</td>
<td>Year 1 - 250,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Year 2 - see Policy #28.a.-h.</td>
</tr>
<tr>
<td>29</td>
<td>Shuttle/Feeder Bus Service – Pilot in CARE Areas or PDAs</td>
<td>Years 1 &amp; 2 - 500,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Year 3 - see Policy #28.a.-h.</td>
</tr>
</tbody>
</table>
3. **Eligible Projects and Case-by-Case Approval**: Eligible projects are those that conform to the provisions of the HSC section 44241, Air District Board-adopted policies, and Air District guidance. On a case-by-case basis, County Program Managers must receive approval by the Air District for projects that are authorized by the HSC section 44241 and achieve Board-adopted TFCA cost-effectiveness but do not fully meet other Board-adopted Policies.

4. **Consistent with Existing Plans and Programs**: All projects must comply with the Transportation Control and Mobile Source Control measures included in the Air District’s most recently approved strategies for achieving and maintaining State and national ozone standards, those plans and programs established pursuant to HSC sections 40233, 40717, and 40919; and, when specified, other adopted federal, State, regional, and local plans and programs.

5. **Eligible Recipients**: Grant recipients must be responsible for the implementation of the project, have the authority and capability to complete the project, and be an applicant in good standing with the Air District (Policies #8-10).
   a. **Public agencies** are eligible to apply for all project categories.
   b. **Non-public entities** are only eligible to apply for new alternative-fuel (light, medium, and heavy-duty) vehicle and infrastructure projects, and advanced technology demonstrations that are permitted pursuant to HSC section 44241(b)(7).

6. **Readiness**: Projects must commence by the end of calendar year 2019. For purposes of this policy, “commence” means a tangible action taken in connection with the project’s operation or implementation, for which the grantee can provide documentation of the commencement date and action performed. “Commence” can mean the issuance of a purchase order to secure project vehicles and equipment, commencement of shuttle/feeder bus and ridesharing service, or the delivery of the award letter for a construction contract.

7. **Maximum Two Years Operating Costs**: Unless otherwise specified in policies #22 through #32, TFCA County Program Manager Funds may be used to support up to two years of operating costs for service-based projects (e.g., ridesharing, shuttle and feeder bus service). Grant applicants that seek TFCA funds for additional years must reapply for funding in the subsequent funding cycles.

**APPLICANT IN GOOD STANDING**

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

A failed fiscal or performance audit of the County Program Manager or its grantee may subject the County Program Manager to a reduction of future revenue in an amount equal to the amount which was inappropriately expended pursuant to the provisions of HSC section 44242(c)(3).
9. **Authorization for County Program Manager to Proceed:** Only a fully executed Funding Agreement (i.e., signed by both the Air District and the County Program Manager) constitutes the Air District’s award of County Program Manager Funds. County Program Managers may incur costs (i.e., contractually obligate itself to allocate County Program Manager Funds) only after the Funding Agreement with the Air District has been executed.

10. **Maintain Appropriate Insurance:** Both the County Program Manager and each grantee must obtain and maintain general liability insurance, workers compensation insurance, and additional insurance as appropriate for specific projects, with required coverage amounts provided in Air District guidance and final amounts specified in the respective grant agreements.

**INELIGIBLE PROJECTS**

11. **Duplication:** Duplicative projects are not eligible. Projects that propose to expand and achieve additional emission reductions of existing projects are eligible (e.g., shuttle service or route expansion, previously-funded project that has completed its Project Useful Life).

12. **Planning Activities:** A grantee may not use any TFCA funds for planning related activities unless they are directly related to the implementation of a project or program that result in emission reductions.

13. **Employee Subsidies:** Projects that provide a direct or indirect financial transit or rideshare subsidy or shuttle/feeder bus service exclusively to the grantee’s employees are not eligible.

14. **Cost of Developing Proposals:** Grantees may not use any TFCA funds to cover the costs of developing grant applications.

**USE OF TFCA FUNDS**

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

16. **Administrative Costs:** The County Program Manager may not expend more than 6.25 percent of its County Program Manager Funds for its administrative costs. The County Program Manager’s costs to prepare and execute its Funding Agreement with the Air District are eligible administrative costs. Interest earned on County Program Manager Funds shall not be included in the calculation of the administrative costs. To be eligible for reimbursement, administrative costs must be clearly identified in the expenditure plan application and in the Funding Agreement, and must be reported to the Air District.

17. **Expend Funds within Two Years:** County Program Manager Funds must be expended within two (2) years of receipt of the first transfer of funds from the Air District to the County Program Manager in the applicable fiscal year, unless a County Program Manager has made the determination based on an application for funding that the eligible project will take longer than two years to implement. Additionally, a County Program Manager may, if it finds that significant progress has been made on a project, approve no more than two one-year schedule extensions for a project. Any subsequent schedule extensions for projects can only be given on a case-by-case basis, if the Air District finds that significant progress has been made on a project, and the Funding Agreement is amended to reflect the revised schedule.

18. **Unallocated Funds:** Pursuant to HSC 44241(f), any County Program Manager Funds that are not allocated to a project within six months of the Air District Board of Directors approval of the County Program Manager’s Expenditure Plan may be allocated to eligible projects by the Air District.
District shall make reasonable effort to award these funds to eligible projects in the Air District within the same county from which the funds originated.

19. Reserved.
20. Reserved.
21. Reserved.

**ELIGIBLE PROJECT CATEGORIES**

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

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

a. Vehicles purchased and/or leased have a gross vehicle weight rating (GVWR) of 14,000 lbs. or lighter.

b. Vehicles are 2018 model year or newer
   i. hybrid-electric, electric, fuel cell, and CNG/LNG vehicles that are certified by the California Air Resources Board (CARB) as meeting established super ultra-low emission vehicle (SULEV), partial zero emission vehicle (PZEV), advanced technology-partial zero emission vehicle (AT-PZEV), or zero emission vehicle (ZEV) standards; or
   ii. electric neighborhood vehicles (NEV) as defined in the California Vehicle Code.

c. Vehicles must be maintained and operated within the Air District’s jurisdiction.

d. The amount of TFCA funds awarded may not exceed 90% of the vehicle’s cost after all other grants and applicable manufacturer and local/state/federal rebates and discounts are applied.

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

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

23. Reserved.

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

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

a. Vehicles purchased and/or leased either have a GVWR greater than 14,000 lbs or are classified as urban buses.

b. Vehicles are 2018 model year or newer hybrid-electric, electric, CNG/LNG, and hydrogen fuel cell vehicles approved by the CARB.

c. Vehicles must be maintained and operated within the Air District’s jurisdiction.
d. The amount of TFCA funds awarded may not exceed 90% of the vehicle’s cost after all other grants and applicable manufacturer and local/state/federal rebates and discounts are applied.

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

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

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

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

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

26. Alternative Fuel Infrastructure:

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

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

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

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

28. Shuttle/Feeder Bus Service:

   These projects are intended to reduce single-occupancy vehicle trips by providing short-distance connections. All of the following conditions must be met for a project to be eligible for TFCA funds:
a. The service must provide direct connections between a mass transit hub (e.g., a rail or Bus Rapid Transit (BRT) station, ferry or bus terminal or airport) and a distinct commercial or employment location.

b. The service’s schedule must be coordinated to have a timely connection with corresponding mass transit service.

c. The service must be available for use by all members of the public.

d. TFCA funds may be used to fund only shuttle services to locations that are under-served and lack other comparable service. For the purposes of this policy, “comparable service” means that there exists, either currently or within the last three years, a direct, timed, and publicly accessible service that brings passengers to within one-third (1/3) mile of the proposed commercial or employment location from a mass transit hub. A proposed service will not be deemed “comparable” to an existing service if the passengers’ proposed travel time will be at least 15 minutes shorter and at least 33% shorter than the existing service’s travel time to the proposed destination.

e. Reserved.

f. Grantees must be either: 1) a public transit agency or transit district that directly operates the shuttle/feeder bus service; or (2) a city, county, or any other public agency.

g. Applicants must submit a letter of concurrence from the transit district or transit agency that provides service in the area of the proposed route, certifying that the service does not conflict with existing service.

h. Each route must meet the cost-effectiveness requirement in Policy #2. Projects that would operate in Highly Impacted Communities or Episodic Areas as defined in the Air District Community Air Risk Evaluation (CARE) Program, or in Priority Development Areas (PDAs), may qualify for funding at a higher cost-effectiveness limit (see Policy #2).

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

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

a. Provide data and other evidence demonstrating the public’s need for the service, including a demand assessment survey and letters of support from potential users. Project applicants must agree to conduct a passenger survey for each year of operation.

b. Provide written documentation of plans for financing the service in the future;

c. Provide a letter from the local transit agency denying service to the project’s proposed service area, which includes the basis for denial of service to the proposed areas. The applicant must demonstrate that the project applicant has attempted to coordinate service with the local service provider and has provided the results of the demand assessment survey to the local transit agency. The applicant must provide the transit service provider’s evaluation of the need for the shuttle service to the proposed area.

d. Pilot projects located in Highly Impacted Communities as defined in the Air District CARE Program and/or a Planned or Potential PDA may receive a maximum of three years of TFCA Funds under the Pilot designation. For these projects, the project applicants understand and must agree that such projects will be evaluated every year, and continued funding will be contingent upon the projects meeting the following requirements:
i. During the first year and by the end of the second year of operation, projects must not exceed a cost-effectiveness of $500,000/ton, and

ii. By the end of the third year of operation, projects must meet all of the requirements, including cost-effectiveness limit, of Policy #28.a.-h. (existing shuttles).

e. Projects located outside of CARE areas and PDAs may receive a maximum of two years of TFCA Funds under this designation. For these projects, the project applicants understand and must agree that such projects will be evaluated every year, and continued funding will be contingent upon the projects meeting the following requirements:

i. By the end of the first year of operation, projects shall meet a cost-effectiveness of $250,000/ton, and

ii. By the end of the second year of operation, projects shall meet all of the requirements, including cost-effectiveness limit, of Policy #28.a.-h. (existing shuttles).

30. **Bicycle Projects:**

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

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

a. New Class-1 bicycle paths;

b. New Class-2 bicycle lanes;

c. New Class-3 bicycle routes;

d. New Class-4 cycle tracks or separated bikeways;

e. Upgraded Class-1 or Class-4 bicycle facilities;

f. Bicycle racks, including bicycle racks on transit buses, trains, shuttle vehicles, and ferry vessels;


g. Electronic bicycle lockers;

h. Capital costs for attended bicycle storage facilities; and

i. Purchase of two-wheeled or three-wheeled vehicles (self-propelled or electric), plus mounted equipment required for the intended service and helmets.

j. Reserved.

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

31. **Bike Share:**

Projects that make bicycles available to individuals for shared use for completing first- and last-mile trips in conjunction with regional transit and stand-alone short distance trips are eligible for TFCA funds, subject to all of the following conditions:
a. Projects must either increase the fleet size of existing service areas or expand existing service areas to include new Bay Area communities.

b. Projects must have a completed and approved environmental plan and a suitability study demonstrating the viability of bicycle sharing.

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

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

32. Arterial Management:

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

33. Smart Growth/Traffic Calming:

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

   a. The development project and the physical improvements must be identified in an approved area-specific plan, redevelopment plan, general plan, bicycle plan, pedestrian plan, traffic-calming plan, or other similar plan.

   b. The project must implement one or more transportation control measures (TCMs) in the most recently adopted Air District plan for State and national ambient air quality standards. Pedestrian projects are eligible to receive TFCA funds.

   c. The project must have a completed and approved environmental plan. If a project is exempt from preparing an environmental plan as determined by the public agency or lead agency, then that project has met this requirement.

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

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

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

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

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

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

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

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

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

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

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

**Years Effectiveness** - Equivalent to the administrative period of the grant and used in calculating a project’s Cost Effectiveness. This is different than how long the project will physically last.
This page intentionally left blank
DATE: February 5, 2018

TO: Alameda County Transportation Commission Board Members

FROM: Trinity Nguyen, Director of Project Delivery

SUBJECT: State Route 84 Expressway Widening and State Route 84 / Interstate 680 Interchange Improvements Project (PN 1386.000): Approval of Amendment No. 1 to Professional Services Agreement A14-0052 with AECOM Technical Services, Inc.

**Recommendation**

Approve and authorize the Executive Director to execute Amendment No. 1 to Professional Services Agreement No. A14-0052 with AECOM Technical Services, Inc. (AECOM) for an additional amount of $500,000 for a total not-to-exceed amount of $5,140,624 to provide additional preliminary engineering services.

**Summary**

The Alameda County Transportation Commission (Alameda CTC) is the project sponsor for the State Route 84 Expressway Widening and State Route 84 / Interstate 680 Interchange Improvements Project (SR 84 Project) (PN 1386.000). The SR 84 Project is included in the 2014 Transportation Expenditure Plan (TEP No. 031) with a commitment of $122.0 million.

The SR 84 Project proposes to widen SR 84 from two lanes to four lanes from south of Ruby Hill Drive in Livermore to I-680 in Sunol and make ramp modifications and other operational improvements to the SR 84/I-680 interchange. The improvements also include extending the I-680 Southbound Express Lane by approximately two miles to the north. Full project details are included as Attachment A. In December 2014, AECOM was selected by Alameda CTC to provide Project Approval and Environmental Document (PA&ED) Phase, including Preliminary Engineering services.

The SR 84 Project draft environmental document was released in November 2017 and approval is anticipated be obtained by June 2018. To ensure a seamless transition into the Final Design Plans, Specifications and Estimate (PS&E) phase, Alameda CTC initiated the selection process to procure consultant services for PS&E phase services and released the request for proposals (RFP) #18-0008 in November 2017. One proposal was received and...
evaluated. The proposal was determined to be both responsive and qualified to perform the required services and as a result, negotiations were initiated. Upon review of the cost proposal, there is a significant difference between Alameda CTC’s independent estimate and the proposal received. It is anticipated that negotiations, if successful, will be lengthy and likely result in a significant delay in starting the PS&E phase work. To ensure the project delivery schedule commitment that was made in the Senate Bill 1 2018 Trade Corridor Enhancement Program funding application recommended by the Metropolitan Transportation Commission; and subsequently submitted to the California Transportation Commission on January 30, 2017, staff has identified discrete work products that could begin under the existing contract with AECOM on long lead right-of-way items. The estimated cost is $500,000 and would be completed within ten months.

Staff recommends that the Commission approve and authorize the Executive Director to execute Amendment No. 1 to Professional Services Agreement No. A14-0052 with AECOM for an additional amount of $500,000 for a total not-to-exceed amount of $5,140,624 to provide additional preliminary engineering services and to extend the agreement expiration to December 31, 2018.

Background

Beginning with Alameda County’s first local transportation sales tax measure authorized in 1986, and through the current measure passed in 2014, Alameda County voters have supported funding to bring SR 84 to expressway standards from I-580 to I-680. The SR 84 Project is the final piece of this corridor plan and within the 2014 TEP (TEP No. 031), has a commitment of $122.0 million.

The SR 84 Project scope includes widening SR 84 from a two-lane conventional highway to a four-lane expressway between south of Ruby Hill Drive and I-680, the implementation of operational improvements at the SR 84/I-680 interchange, and the extension of the existing I-680 southbound High Occupancy Vehicle (HOV)/express lane by approximately two miles to the north from its current terminus at SR 84. These improvements will eliminate a weaving conflict between traffic entering northbound I-680 from Calaveras Road and exiting northbound I-680 to northbound SR 84, which causes a peak period bottleneck on northbound I-680. The weaving conflict and existing single-lane ramp from northbound I-680 to northbound SR 84 result in higher-than-statewide average collision rates at the interchange.

The SR 84 Project is currently in the PA&ED phase. The Draft Environmental Impact Report / Environmental Assessment (DEIR/EA) was released for public review and comments in October 2017. Public meetings to discuss the DEIR/EA were held in November 2017. Approval of the Final EIR/EA is expected in June 2018.

In anticipation of the approval of the environmental document and to ensure a seamless transition into the PS&E phase, Alameda CTC initiated the selection process to procure consultant services for PS&E phase services and released RFP #18-0008 in November 2017. One proposal was received and an independent selection panel composed of representatives from the City of Pleasanton and Alameda CTC evaluated the proposal. The
panel determined that the lone proposer, was responsive and qualified to perform the required services. Upon review of the cost proposal, there is a significant difference between Alameda CTC’s independent estimate and the proposal received. It is anticipated that negotiations, if successful, will be lengthy and could result in a significant delay in starting the PS&E phase work.

On January 30, 2018, Alameda CTC’s SR 84 Project Funding Application seeking $70.9 million in construction funding from the 2018 Trade Corridor Enhancement Program authorized by Senate Bill 1 was submitted to the California Transportation Commission. Projects under consideration must identify and commit to a project delivery schedule that will meet the construction funding allocation deadline of FY 2019/2020. As a schedule risk mitigation strategy, staff has identified discrete work products that could begin on long lead right-of-way items including base maps and right-of-way mapping for key parcels. This effort is anticipated to take ten months.

AECOM is a well-established local firm and its team is comprised of several Alameda CTC certified local, small local, and very small local firms. The amended work is anticipated to increase the Small Local Business Enterprise (SLBE) utilization. Table A below summarizes the contract actions related to Agreement No. A14-0052.

### Table A: Summary of Agreement No. A14-0052

<table>
<thead>
<tr>
<th>Contract Status</th>
<th>Work Description</th>
<th>Value</th>
<th>Total Contract Not-to-Exceed Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Original Professional Services Agreement with AECOM (A14-0052) May 2015</td>
<td>Environmental phase services</td>
<td>NA</td>
<td>$4,640,624</td>
</tr>
<tr>
<td>Proposed Amendment No. 1 February 2018 (This Agenda Item)</td>
<td>Provide budget for additional preliminary engineering services and a 6-month time extension to December 30, 2018</td>
<td>$500,000</td>
<td>$5,140,624</td>
</tr>
<tr>
<td><strong>Total Amended Contract Not-to-Exceed Amount</strong></td>
<td></td>
<td></td>
<td><strong>$5,140,624</strong></td>
</tr>
</tbody>
</table>

The proposed contract Amendment No. 1 to Professional Services Agreement No. A17-0004 with AECOM for an additional amount of $500,000 for a total not-to-exceed amount of $5,140,624 and a 6-month time extension to December 31, 2018 would provide additional preliminary engineering services and keep the SR 84 Project on schedule. The SR 84 Project funding plan includes sufficient budget from previously allocated Measure BB funds for this work.

R:\AlaCTC\Meetings\Commission\PPC\20180212\5.3_SR84_SR84-680_IC\5.3_B4_84-680_IC_Amend.docx
**Levine Act Statement:** The AECOM Team did not report a conflict in accordance with the Levine Act.

**Fiscal Impact:** The action will authorize the encumbrance of $500,000 in previously allocated project funds for subsequent expenditure. This amount is included in the appropriate project funding plans, and sufficient budget has been included in the Alameda CTC Adopted FY 2017-18 Capital Program Budget.

**Attachments**

A. State Route 84 Expressway Widening and State Route 84 / Interstate 680 Interchange Improvements Project Fact Sheet
SR-84 Widening From South of Ruby Hill Drive to I-680 and SR-84/I-680 Interchange Improvements

PROJECT OVERVIEW

Alameda CTC, in cooperation with the California Department of Transportation (Caltrans) and the Federal Highway Administration (FHWA), proposes to conform State Route 84 (SR-84) to expressway standards between south of Ruby Hill Drive and the Interstate 680 (I-680) interchange in southern Alameda County by:

- Widening SR-84 to accommodate one additional lane in each direction.
- Implementing additional improvements to reduce weaving/merging conflicts and help address the additional traffic demand between I-680 and SR-84.

The project would also improve SR-84/I-680 interchange operations by:

- Modifying ramps.
- Extending the existing southbound I-680 High Occupancy Vehicle/Express Lane northward by ~2 miles. Currently, the southbound express lanes extend from SR-84 south of Pleasanton to SR-237 in Milpitas.

Upon completion, this project will be the final segment in a series of improvements to widen SR-84 to expressway standards from I-680 in Sunol to I-580 in Livermore.

PROJECT NEED

- SR-84 is congested during peak commute times.
- Congestion at the interchange affects operations of both SR-84 and I-680; projected to worsen in the future.
- Collision rates on SR-84 and the interchange are higher than the state average, and access to SR-84 from driveways and local roads is difficult.
- Undivided roadway and uncontrolled access on SR-84 do not meet expressway standards.

PROJECT BENEFITS

- Improves regional connectivity
- Improves interregional connectivity
- Relieves congestion
- Improves safety
**STATUS**

**Implementing Agency:** Alameda CTC  
**Current Phase:** Environmental  
- Preliminary environmental and engineering studies are underway.  
- Environmental clearance for California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) is anticipated in June 2018. The project is pursuing an Environmental Impact Report (EIR) as part of the CEQA clearance and an Environmental Assessment (EA) document as part of the NEPA clearance.

**PARTNERS AND STAKEHOLDERS**  
Alameda CTC, Alameda County, Caltrans, FHWA and the cities of Livermore, Pleasanton and Sunol

---

**COST ESTIMATE BY PHASE ($ X 1,000)**

<table>
<thead>
<tr>
<th>Category</th>
<th>Cost</th>
</tr>
</thead>
<tbody>
<tr>
<td>PE/Environmental</td>
<td>$7,680</td>
</tr>
<tr>
<td>Final Design</td>
<td>$16,500</td>
</tr>
<tr>
<td>Right-of-Way</td>
<td>$30,500</td>
</tr>
<tr>
<td>Construction</td>
<td>$165,320</td>
</tr>
<tr>
<td><strong>Total Expenditures</strong></td>
<td>$220,000</td>
</tr>
</tbody>
</table>

Note: Estimate basis in 2022 dollars.

**FUNDING SOURCES ($ X 1,000)**

<table>
<thead>
<tr>
<th>Source</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Measure BB</td>
<td>$122,000</td>
</tr>
<tr>
<td>Measure B</td>
<td>$1,000</td>
</tr>
<tr>
<td>Local (TVTC)¹</td>
<td>$14,940</td>
</tr>
<tr>
<td>TBD</td>
<td>$82,060</td>
</tr>
<tr>
<td><strong>Total Revenues</strong></td>
<td>$220,000</td>
</tr>
</tbody>
</table>

¹ Local funding includes the Tri-Valley Transportation Council (TVTC).

**SCHEDULE BY PHASE**

<table>
<thead>
<tr>
<th>Phase</th>
<th>Begin</th>
<th>End</th>
</tr>
</thead>
<tbody>
<tr>
<td>Environmental</td>
<td>Spring 2015</td>
<td>Summer 2018</td>
</tr>
<tr>
<td>Public Meetings/Stakeholder Engagement</td>
<td>Spring 2015</td>
<td>Fall 2017</td>
</tr>
<tr>
<td>CEQA Clearance</td>
<td>Spring 2015</td>
<td>Summer 2018</td>
</tr>
<tr>
<td>NEPA Clearance</td>
<td>Spring 2015</td>
<td>Summer 2018</td>
</tr>
<tr>
<td>Final Design</td>
<td>Summer 2018</td>
<td>Summer 2020</td>
</tr>
<tr>
<td>Right-of-Way</td>
<td>Fall 2018</td>
<td>Summer 2020</td>
</tr>
<tr>
<td>Construction²</td>
<td>Winter 2021</td>
<td>Winter 2023</td>
</tr>
</tbody>
</table>

² Schedule subject to funding availability.

Note: Information on this fact sheet is subject to periodic updates.