



**6. ACTION FINANCIAL**

**A. Discussion of Intercity Bus Replacement Capital Plan  
Recommendation:**

Mary Pryor,  
STA Project Manager

Approve the Revised SolanoExpress Intercity Bus Replacement Funding Plan with CNG Vehicles and Accelerated Acquisitions as specified in Attachment C.

(1:45 – 1:55 p.m.)

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**7. ACTION NON-FINANCIAL**

**A. None.**

**8. INFORMATIONAL ITEMS – DISCUSSION ITEMS**

**A. ADA In-Person Eligibility Contract Renewal - CARE Evaluators**

Tiffany Gephart

(1:55 – 2:00 p.m.)

**Pg. 17**

**B. Cap and Trade - STAF Population Based Allocation**

Liz Niedziela

(2:00 – 2:05 p.m.)

**Pg. 25**

**C. Lifeline Transportation Program - Cycle 4**

Liz Niedziela

(2:05 – 2:10 p.m.)

**Pg. 67**

**D. Proposed DRAFT January 2015 Schedules For SolanoExpress Routes 78 and 85**

Elizabeth Romero,  
SolTrans

(2:10 – 2:15 p.m.)

**Pg. 111**

**E. Proposed SolTrans Regional Paratransit Policy Action**

Elizabeth Romero,  
SolTrans

(2:15 – 2:20 p.m.)

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**NO DISCUSSION**

**F. Summary of Funding Opportunities**

Andrew Hart

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**9. TRANSIT CONSORTIUM OPERATOR UPDATES AND COORDINATION ISSUES**

Group

**10. FUTURE INTERCITY TRANSIT CONSORTIUM AGENDA ITEMS**

Group

January 2015

- A. 2014 Solano Rail Study – David McCrossan
- B. SolanoExpress Marketing Plan for 2015 – Jayne Bauer
- C. Updated Funding Plan for Benicia Intermodal Hub Project - Robert Guerrero, STA and Graham Wadsworth, Benicia
- D. Intercity Paratransit/Taxi Scrip Transition Update – Richard Weiner, Nelson Nygaard, Project Manager

February 2015

- A. Discussion of Transit Element Update of CTP – Elizabeth Richards, Project Manager
- B. Mobility Management – Travel Training Update

**11. ADJOURNMENT**

The next regular meeting of the Solano Express Intercity Transit Consortium is scheduled **1:30 p.m. on Tuesday, January 27, 2014.**

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**INTERCITY TRANSIT CONSORTIUM  
Meeting Minutes of November 18, 2014**

**1. CALL TO ORDER**

Judy Leaks called the regular meeting of the SolanoExpress Intercity Transit Consortium to order at approximately 1:30 p.m. in the Solano Transportation Authority Conference Room.

**Members**

<b>Present:</b>	Janet Koster, Vice Chair	Dixon Read-Ride
	Wayne Lewis	Fairfield and Suisun Transit (FAST)
	John Harris	Rio Vista Delta Breeze
	Mona Babauta	Solano County Transit (SolTrans)
	Judy Leaks, Chair, Chair	Solano Napa Commuter Information (SNCI)
	Liz Niedziela	STA
	Nathan Newell (Alternate)	County of Solano

**Members**

<b>Absent:</b>	Brian McLean	Vacaville City Coach
	Matt Tuggle	County of Solano

**Also Present (In Alphabetical Order by Last Name:**

Jayne Bauer	STA
Tiffany Gephart	STA
Daryl Halls	STA
Kristina Holden	STA
Johanna Masiclat	STA
Mary Pryor	STA Project Manager
Jim McElroy	STA Project Manager

**Others Present: (In Alphabetical Order by Last Name)**

Elizabeth Romero	SolTrans
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**2. APPROVAL OF THE AGENDA**

On a motion by Wayne Lewis, and a second by Janet Koster, the SolanoExpress Intercity Transit Consortium approved the agenda. (7 Ayes, 1 Absent)

**3. OPPORTUNITY FOR PUBLIC COMMENT**

None presented.

**4. REPORTS FROM CALTRANS, MTC, AND STA STAFF**

**5. CONSENT CALENDAR**

On a motion by Janet Koster, and a second by Wayne Lewis, the SolanoExpress Intercity Transit Consortium approved Consent Calendar Item A. (7 Ayes, 1 Absent)

**A. Minutes of the Consortium Meeting of September 23, 2014**

Recommendation:

Approve the Consortium Meeting Minutes of September 23, 2014.

**6. ACTION FINANCIAL ITEMS**

**A. Letters of Support for Federal Transit Administration (FTA) Section 5310 Funding for Solano Mobility Management Programs**

Liz Niedziela reported that staff recommends submitting a grant application to Caltrans for the Solano Mobility Management Program for this FTA Section 5310 funding cycle. The funding will assist in sustaining the current Mobility Programs. A letter of support for the Mobility Management Program and an Authorizing Resolution will be going to the STA Board for approval in December. She identified the projects that STA staff is preparing to request FTA Section 5310 funding for the Solano Mobility Management Programs include 1) Call Center and website to continue to coordinate transportation information; and 2) Travel Training Programs.

Recommendation:

Forward a recommendation to the STA TAC and STA Board to authorize the Chair to forward a Letter of Support to Caltrans in Support of the Solano Transportation funding application for FTA Section 5310 for Solano Mobility Management Program.

On a motion by Wayne Lewis, and a second by Liz Niedziela, the SolanoExpress Intercity Transit Consortium unanimously approved the recommendation. (7 Ayes, 1 Absent)

**B. Federal Transit Administration (FTA) Non-Urbanized Area Program (FTA Section 5311) Revised Recommendation**

Liz Niedziela reported that Caltrans indicated that the FY15 dollar amount will be lower than what MTC anticipated (\$1,597,707 rather than \$1,865,390) because MTC's FY14 5311 amount which was used to estimate the FY15 amount included carryover funds from previous years and MTC staff was not aware of that fact. She noted that STA staff recommends reducing Dixon/Solano County Intercity Bus Replacement from \$108,428 to \$29,092 to address this shortfall. She added that STA recommends moving \$25,000 from Rio Vista Transit Park and Ride to Rio Vista Delta Breeze Operating per the City of Rio Vista's request.

Janet Koster asked a question about reducing Dixon's bus replacement funding. Liz Niedziela indicated STA would work with Dixon to identify additional funding as a replacement.

Recommendation:

Forward a recommendation to the STA TAC and STA Board to approve Federal Section 5311 Allocation for 2014 and 2015 in the amount of \$409,092 as specified in Attachment C.

On a motion by Wayne Lewis, and a second by John Harris, the SolanoExpress Intercity Transit Consortium unanimously approved the recommendation. (7 Ayes, 1 Absent)

## 7. ACTION NON-FINANCIAL ITEMS

### A. STA's Draft 2015 Legislative Priorities and Platform

Jayne Bauer reported that to date, no comments have been received. Staff will provide an update at the meeting if comments are received prior to that time. Staff recommends the TAC and Consortium forward a recommendation to the STA Board to adopt the Final Draft 2015 Legislative Platform and Priorities (Attachment C) at their meeting in December 2014.

#### Recommendation:

Forward a recommendation to the STA TAC and STA Board to adopt the STA's 2015 Legislative Priorities and Platform as specified in Attachment C.

On a motion by Mona Babauta, and a second by John Harris, the SolanoExpress Intercity Transit Consortium unanimously approved the recommendation. (7 Ayes, 1 Absent)

### B. Intercity Transit Corridor Study – Selection of Preferred Service Alternative, RFP for Phase 2 and Establishment of Public Outreach Process

Jim McElroy noted that at their meeting in March, the Consortium recommended to the STA TAC and Board to select a specific alternative and develop a request for proposal for the next phase to implement the recommended alternative (option B), but due to a variety of concerns raised by transit staff from the City of Fairfield, the Consortium opted to not act on the recommendation and it failed to attain enough votes to forward to the STA Board with 4 Ayes, 4 Abstention. In addition, he summarized the list of unresolved issues raised by the City of Fairfield which are being recommended by STA staff to be addressed as part of the Phase 2 of the study. He also added that FAST Transit staff conveyed his objection to the framework for the STA's public comment process and commented that the public review process should go forward without identifying a preferred service option from the STA Board. Jim McElroy commented that the previous service option recommendation to the Consortium is being returned for consideration and amended to include specific action on a public review process with some modifications based on discussions with City of Fairfield staff. He also indicated that at a recent STA Board meeting, Board members expressed a desire to include a public advisory committee to provide advice and feedback on the SolanoExpress system. He added that once the advisory committee has been established, they would review and comment on the proposed Intercity Transit Corridor Plan and provide guidance to the STA Board regarding future proposed modifications in SolanoExpress service.

After extensive discussion, the SolanoExpress Intercity Transit Consortium approved each recommendation as follows:

#### Recommendation:

Forward a recommendation to the STA TAC and Board to:

1. Select Alternative B – BART-like Trunk System as the preferred service alternative for the Solano intercity transit system (5 Ayes, 2 Abstention (FAST and Solano County), 1 Absent (Vacaville City Coach));
2. Authorize the Executive Director to develop and issue a Request for Proposal (RFP) for consultant services for the Transit Corridor Study Phase 2 and the Coordinated SRTP (5 Ayes, 2 Abstention (FAST and Solano County), 1 Absent (Vacaville City Coach));

3. Authorize the Executive Director to enter into an agreement in an amount not to exceed \$275,000 for Transit Corridor Study Phase 2 and Coordinated SRTP (5 Ayes, 2 Abstention (FAST and Solano County), 1 Absent (Vacaville City Coach));
4. Approve the public review and input process for Phase 2 as described in Attachment F (7 Ayes, 1 Absent (Vacaville City Coach)); and
5. Establish a SolanoExpress Intercity Transit Advisory Committee as described in Attachment G (Table until the next meeting in December).

## 8. INFORMATIONAL ITEMS – DISCUSSION ITEMS

### A. Discussion of Intercity Bus Replacement Capital Plan

Mary Pryor reviewed the revised funding plan which includes changes from the financial plan listed as follows: updated vehicle acquisition schedule, unit prices for CNG vehicles rather than hybrid vehicles; elimination of loan and repayment, annual contribution amounts from Vacaville in lieu of loan; and identified near-term funding from SolTrans and FAST. She also noted that the Intercity Funding Plan had assumed that the replacement vehicles would be hybrid vehicles. The change to CNG technology results in overall savings of approximately \$4.2 million (or approximately \$150,000 per bus).

SolTrans and FAST have both identified additional funding which will allow for the acquisition of more replacement vehicles in the near term.

The attached revised funding plan includes the following changes from the financial plan provided to the Consortium in September:

- Updated vehicle acquisition schedule
- Unit prices for CNG vehicles rather than hybrid vehicles
- Elimination of loan and repayment
- Annual contribution amounts from Vacaville in lieu of loan
- Identified near-term funding from SolTrans and FAST

### B. Mobility Management Program Update

Tiffany Gephart summarized the activities of the Solano Mobility Management Plan which focuses on four key elements: 1) Countywide In-Person American Disability Act (ADA) Eligibility and Certification Program; 2) Travel Training; 3) Senior Driver Safety Information; and 4) One Stop Transportation Call Center.

### C. 2014 Local Ridership Studies for Fairfield and Suisun Transit (FAST), and Solano County Transit (SolTrans)

Liz Niedziela provided an update to the 2014 Intercity Ridership Survey that consisted of a countywide on-board survey, off and on counts, and on-time performance to assist in identifying productivity and compare across routes and systems. She noted that FAST and SolTrans requested to have a Ridership Survey conducted on the local systems as well as the intercity routes.

### D. Solano Employer Commute Challenge 2014 – Results

Judy Leaks reported that as of October 31<sup>st</sup>, 30 major Solano County employers totaling 642 employees registered for the Challenge with more than 419 employees participating. She noted that Genentech, in Vacaville, is on track to earn the Most Outstanding Workplace title with 106 Commute Champions. She announced that the drawing for those gift certificates will take place at the December STA Board meeting and staff will coordinate the presentation of employer rewards and recognition events with the companies, Chambers of Commerce, and STA Board members.

## **NO DISCUSSION ITEMS**

### **E. Summary of Funding Opportunities**

#### **9. TRANSIT CONSORTIUM OPERATOR UPDATES AND COORDINATION ISSUES**

#### **10. FUTURE INTERCITY TRANSIT CONSORTIUM AGENDA ITEMS**

A summary of the agenda items for December 2014 and January 2015 were presented.

#### **11. ADJOURNMENT**

The meeting was adjourned at 2:45 p.m. The next regular meeting of the SolanoExpress Intercity Transit Consortium is scheduled at **1:30 p.m. on Tuesday, December 16, 2014.**

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Date: December 3, 2014  
To: SolanoExpress Transit Consortium  
From: Mary Pryor, NWC Partners Consultant  
RE: Discussion of Intercity Bus Replacement Capital Plan

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### **Background**

In 2013, the Intercity Transit Funding Working Group met and jointly developed a plan for funding intercity bus replacements. The recommended plan was approved by the STA Board on March 13, 2013. Under this plan, the STA will provide 20% of the funding, 20% of the funding will be requested from Metropolitan Transportation Commission (MTC) and the Transit Operators that are members of the Intercity Transit Funding Group will provide the remaining 60% of the funding.

In March 2013, STA send a letter to MTC requesting 20% of the Intercity Bus Replacement. At this time, STA has not yet discussed with MTC staff, but received a commitment from MTC.

On May 14, 2014, the STA Board approved a funding plan for completing the Fairfield/Vacaville Intermodal Station project including a loan of funds that had been planned for use on Intercity Bus Replacements. Due to recent changes in the cost of the Intermodal Station project, only one of the two loans is necessary, the loan of Proposition 1B transit capital funds.

In September, STA requested additional information from the Consortium members regarding the status of funding their commitments. Since that time, STA has met with SolTrans and FAST staff to discuss and update their planned vehicle acquisition schedule and funding plans.

### **Discussion**

SolTrans has indicated that they plan to convert their current intercity bus fleet from diesel to CNG. FAST is investigating converting to CNG as well. The previous versions of the Intercity Funding Plan had assumed that the replacement vehicles would be hybrid vehicles. The change to CNG technology results in overall savings of approximately \$4.2 million (or approximately \$150,000 per bus). Both SolTrans and FAST staff support this change.

SolTrans and FAST have both identified additional funding which will allow for the acquisition of more replacement vehicles in the near term.

The attached revised funding plan includes the following changes from the financial plan provided to the Consortium in September:

- Updated vehicle acquisition schedule
- Unit prices for CNG vehicles rather than hybrid vehicles
- Elimination of loan and repayment from Vacaville
- Inclusion of the loan and repayment from STA of Prop 1B funds
- Annual contribution amounts from Vacaville in lieu of loan
- Identified near-term funding from SolTrans and FAST

**Recommendation**

Approve the Revised SolanoExpress Intercity Bus Replacement Funding Plan with CNG Vehicles and Accelerated Acquisitions as specified in Attachment C.

Attachments:

- A. Intercity Bus Replacement Funding Plan Approved by STA Board March 13, 2013
- B. Intercity Bus Replacement Funding Plan with Loan Agreement dated May 14, 2014
- C. Draft Revised Intercity Bus Replacement Funding Plan with CNG Vehicles and Accelerated Acquisitions dated December 3, 2014

**Solano County Intercity Bus Fleet Replacement Costs and Funding**

Prepared by Nancy Whelan Consulting Feb 19, 2013

**Interim Funding Plan**

**Scenario 2A: All Buses Replaced by FY 22-23, 60% Funding by Locals Using Intercity Funding Agreement Formula**

Year of Replacement <sup>b</sup>	Funded		Funded <sup>a</sup>								Total
	FY 14-15	FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23		
Total Buses to be Replaced	3		3	0	14	2	3	5	4	34	
FAST	1		2	0	2	2	3	5	4	19	
SolTrans	2		1		12					15	
Unit Cost -- 45 ft hybrid	\$ 931,730	\$ 961,330	\$ 980,556	\$ 1,000,167	\$ 1,020,171	\$ 1,040,574	\$ 1,061,386	\$ 1,082,613	\$ 1,104,266		
<b>Total Cost</b>	<b>\$ 2,795,190</b>	<b>\$ -</b>	<b>\$ 2,941,669</b>	<b>\$ -</b>	<b>\$ 14,282,389</b>	<b>\$ 2,081,148</b>	<b>\$ 3,184,157</b>	<b>\$ 5,413,066</b>	<b>\$ 4,417,062</b>	<b>\$ 35,114,681</b>	
<b>Funding</b>											
<b>Near Term: 6 Replacements</b>											
Federal Earmarks	\$ 1,260,000									\$ 1,260,000	
Prop 1B Lifeline	\$ 1,000,000									\$ 1,000,000	
Prop 1B Pop Base	\$ 535,190		\$ 2,360,202							\$ 2,895,392	
STAF			\$ 581,467							\$ 581,467	
<b>Longer Term: 28 Replacements</b>											
20% Funding from STA <sup>c</sup>				\$ -	\$ 2,856,478	\$ 416,230	\$ 636,831	\$ 1,082,613	\$ 883,412	\$ 5,875,565	
20% Funding from MTC <sup>d</sup> -- Proposed				\$ -	\$ 2,856,478	\$ 416,230	\$ 636,831	\$ 1,082,613	\$ 883,412	\$ 5,875,565	
60% Funding by Locals										\$ -	
Dixon	1.9%			\$ -	\$ 274,829	\$ 40,046	\$ 61,271	\$ 104,161	\$ 84,995	\$ 565,302	
FAST	24.3%			\$ -	\$ 3,469,568	\$ 505,566	\$ 773,515	\$ 1,314,976	\$ 1,073,021	\$ 7,136,647	
SolTrans	22.2%			\$ -	\$ 3,176,988	\$ 462,933	\$ 708,287	\$ 1,204,088	\$ 982,536	\$ 6,534,831	
Vacaville	11.0%			\$ -	\$ 1,569,955	\$ 228,765	\$ 350,010	\$ 595,017	\$ 485,534	\$ 3,229,282	
Unincorporated County	0.5%			\$ -	\$ 78,093	\$ 11,379	\$ 17,410	\$ 29,598	\$ 24,152	\$ 160,632	
<b>Total Funding</b>		<b>\$ 2,795,190</b>	<b>\$ -</b>	<b>\$ 2,941,669</b>	<b>\$ -</b>	<b>\$ 14,282,389</b>	<b>\$ 2,081,148</b>	<b>\$ 3,184,157</b>	<b>\$ 5,413,066</b>	<b>\$ 4,417,062</b>	<b>\$ 35,114,682</b>

Notes

- a. STA Board approved this funding on Feb 13, 2013.
- b. Year of replacement reflects the cash flow requirement; programming for these expenditures would be needed 2 years prior to the year of replacement.
- c. 20% Funding from STA - STA is committed to providing the local match for the Intercity SolanoExpress Bus Replacement from a combination and STAF and Prop 1B funds. Currently, STA has a reserve of STAF funds and will continue to build the reserve on an annual basis until the local match is met.
- d. Proposed MTC funding from bridge tolls or Sec. 5307

**DRAFT Solano County Intercity Bus Fleet Replacement Costs and Funding**

Prepared by Nancy Whelan Consulting May 14, 2014

**Interim Funding Plan Approved by STA Board in March 2013**

**With Fairfield Vacaville Train Station Loan Agreement**

**Scenario 2A: All Buses Replaced by FY 22-23, 60% Funding by Locals Using Intercity Funding Agreement Formula**

Year of Replacement <sup>b</sup>	Funded		Funded <sup>a</sup>								Total
	FY 14-15	FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23		
Total Buses to be Replaced	3		3	0	14	2	3	5	4	34	
FAST	1		2	0	2	2	3	5	4	19	
SolTrans	2		1		12					15	
Unit Cost -- 45 ft hybrid	\$ 931,730	\$ 961,330	\$ 980,556	\$ 1,000,167	\$ 1,020,171	\$ 1,040,574	\$ 1,061,386	\$ 1,082,613	\$ 1,104,266		
<b>Total Cost</b>	<b>\$ 2,795,190</b>	<b>\$ -</b>	<b>\$ 2,941,669</b>	<b>\$ -</b>	<b>\$ 14,282,389</b>	<b>\$ 2,081,148</b>	<b>\$ 3,184,157</b>	<b>\$ 5,413,066</b>	<b>\$ 4,417,062</b>	<b>\$ 35,114,681</b>	
<b>Loan Proceeds/Funding for Train Station</b>	<b>\$ 4,259,000</b>									<b>\$ 4,259,000</b>	
<b>Funding</b>											
<b>Near Term: 6 Replacements</b>											
Federal Earmarks	\$ 1,260,000									\$ 1,260,000	
Prop 1B Lifeline	\$ 1,000,000									\$ 1,000,000	
Prop 1B Pop Base	\$ 535,190		\$ 2,360,202							\$ 2,895,392	
STAF			\$ 581,467							\$ 581,467	
<b>Longer Term: 28 Replacements</b>											
20% Funding from STA <sup>c,d</sup>				\$ -	\$ 1,597,478	\$ 416,230	\$ 636,831	\$ 1,082,613	\$ 883,412	\$ 4,616,565	
20% Funding from MTC <sup>e</sup> -- Proposed				\$ -	\$ 2,856,478	\$ 416,230	\$ 636,831	\$ 1,082,613	\$ 883,412	\$ 5,875,565	
60% Funding by Locals										\$ -	
Dixon	1.9%			\$ -	\$ 274,829	\$ 40,046	\$ 61,271	\$ 104,161	\$ 84,995	\$ 565,302	
FAST	24.3%			\$ -	\$ 3,469,568	\$ 505,566	\$ 773,515	\$ 1,314,976	\$ 1,073,021	\$ 7,136,647	
SolTrans	22.2%			\$ -	\$ 3,176,988	\$ 462,933	\$ 708,287	\$ 1,204,088	\$ 982,536	\$ 6,534,831	
Vacaville (Fairfield to pay)	11.0%			\$ -	\$ -	\$ -	\$ -	\$ -	\$ 229,282	\$ 229,282	
Unincorporated County	0.5%			\$ -	\$ 78,093	\$ 11,379	\$ 17,410	\$ 29,598	\$ 24,152	\$ 160,632	
<b>Loan Funding</b>										\$ -	
Vacaville Loan <sup>f</sup>	\$ 3,000,000									\$ 3,000,000	
STA Loan of Prop 1B <sup>d</sup>	\$ 1,259,000									\$ 1,259,000	
Fairfield Loan Repayment to STA		\$ 851,800	\$ 851,800	\$ 851,800	\$ 851,800	\$ 851,800				\$ 4,259,000	
										\$ -	
<b>Total Funding</b>	<b>\$ 7,054,190</b>	<b>\$ 851,800</b>	<b>\$ 3,793,469</b>	<b>\$ 851,800</b>	<b>\$ 12,305,234</b>	<b>\$ 2,704,183</b>	<b>\$ 2,834,146</b>	<b>\$ 4,818,049</b>	<b>\$ 4,160,810</b>	<b>\$ 39,373,682</b>	

Notes

- a. STA Board approved this funding on Feb 13, 2013.
- b. Year of replacement reflects the cash flow requirement; programming for these expenditures would be needed 2 years prior to the year of replacement.
- c. 20% Funding from STA - STA is committed to providing the local match for the Intercity SolanoExpress Bus Replacement from a combination and STAF and Prop 1B funds. Currently, STA has a reserve of STAF funds and will continue to build the reserve on an annual basis until the local match is met.
- d. STA will loan \$1.259 m in Prop 1B funds for the Train Station project. Loan will be repaid by Fairfield to STA to meet the commitment to Intercity Bus Replacement.
- e. Proposed MTC funding from bridge tolls or Sec. 5307

**Solano County Intercity Bus Fleet Replacement Costs and Funding**

Prepared by NWC Partners, Nov. 12, 2014

**DRAFT**

**Based on Interim Funding Plan**

**Scenario 2A: All Buses Replaced by FY 22-23, 60% Funding by Locals Using Intercity Funding Agreement Formula**

**Assumes CNG Vehicles. 5 SolTrans Vehicles in FY16. 5 FAST vehicles in FY17**

Year of Replacement <sup>b</sup>		Funded									
		FY 14-15	FY 15-16	FY 16-17	FY 17-18	FY 18-19	FY 19-20	FY 20-21	FY 21-22	FY 22-23	Total
Total Buses to be Replaced		0	5	5	0	13	2	3	5	2	35
FAST		0	0	5	0	2	2	3	5	2	19
SolTrans		0	5	0		11					16
Unit Cost -- 45 ft CNG <sup>c</sup>		\$ 790,010	\$ 813,710	\$ 838,122	\$ 863,265	\$ 889,163	\$ 915,838	\$ 943,313	\$ 971,613	\$ 1,000,761	
Vehicle Cost		\$ -	\$ 4,068,552	\$ 4,190,608	\$ -	\$ 11,559,122	\$ 1,831,676	\$ 2,829,940	\$ 4,858,063	\$ 2,001,522	\$ 31,339,483
<b>Funding</b>											
<b>Near Term: 6 Replacements</b>											
Federal Earmarks			\$ 1,260,000								\$ 1,260,000
Prop 1B Lifeline			\$ 1,000,000								\$ 1,000,000
Prop 1B Pop Base			\$ 535,190	\$ 2,360,202							\$ 2,895,392
STAF				\$ 581,467							\$ 581,467
<b>Longer Term: 28 Replacements</b>											
20% Funding from STA <sup>d</sup>					\$ -	\$ 2,638,452	\$ 366,335	\$ 565,988	\$ 971,613	\$ 400,304	\$ 4,942,692
20% Funding from MTC <sup>e</sup> -- Proposed					\$ -	\$ 2,638,452	\$ 366,335	\$ 565,988	\$ 971,613	\$ 400,304	\$ 4,942,692
60% Funding by Locals											\$ -
Dixon	1.9%				\$ -	\$ 253,852	\$ 35,246	\$ 54,455	\$ 93,481	\$ 38,514	\$ 475,549
FAST <sup>f</sup>	24.3%			\$ 1,248,939	\$ -	\$ 1,955,808	\$ 444,962	\$ 687,467	\$ 1,180,151	\$ 486,222	\$ 6,003,550
SolTrans <sup>g</sup>	22.2%		\$ 1,273,362		\$ -	\$ 2,550,300	\$ 407,440	\$ 629,494	\$ 1,080,632	\$ 445,220	\$ 6,386,449
Vacaville	11.0%				\$ -	\$ 1,450,125	\$ 201,342	\$ 311,074	\$ 534,010	\$ 220,012	\$ 2,716,564
Unincorporated County	0.5%				\$ -	\$ 72,132	\$ 10,015	\$ 15,474	\$ 26,563	\$ 10,944	\$ 135,128
<b>Total Funding</b>		\$ -	\$ 4,068,552	\$ 4,190,608	\$ -	\$ 11,559,121	\$ 1,831,676	\$ 2,829,940	\$ 4,858,063	\$ 2,001,522	\$ 31,339,482
<b>Annual Balance</b>		\$ -	\$ 0	\$ (0)	\$ -	\$ (0)	\$ -	\$ -	\$ -	\$ -	\$ (0)
<b>Cumulative Balance</b>		\$ -	\$ 0	\$ 0	\$ 0	\$ (0)	\$ (0)	\$ (0)	\$ (0)	\$ (0)	\$ (0)

Notes

- STA Board approved the Prop 1B and STAF funding on Feb 13, 2013.
- Year of replacement reflects the cash flow requirement; programming for these expenditures would be needed 2 years prior to the year of replacement.
- CNG Vehicle price from MTC's FY14 pricelist, with 3% annual escalation. FAST acquisitions in FY17 may be diesel, which would reduce total cost by approximately \$350,000.
- 20% Funding from STA - STA is committed to providing the local match for the Intercity SolanoExpress Bus Replacement from a combination and STAF and Prop 1B funds. Currently, STA has a reserve of STAF funds and will continue to build the reserve on an annual basis until the local match is met.
- Proposed MTC funding from bridge tolls (RM-2) or Sec. 5307 (SF UZA)
- FAST has identified additional funding (FTA 5339) for earlier acquisitions, which will reduce FAST's funding share in FY19.
- SolTrans identified additional funding (FTA 5307, source subject to change) for earlier acquisitions, which reduces SolTrans' funding share in FY19. Acquisitions in FY18-19 include one vehicle used for WETA service; SolTrans will be responsible for developing funding plan with WETA for this vehicle.

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DATE : December 3, 2014  
TO: SolanoExpress Intercity Transit Consortium  
FROM: Tiffany Gephart, Transit Mobility Coordinator  
RE: ADA In-Person Eligibility Contract Renewal - CARE Evaluators

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**Background**

The Countywide In-Person Americans with Disabilities Act (ADA) Eligibility and Certification Program was identified as a key implementation strategy in the 2011 Solano Transportation Study for Seniors and People with Disabilities. STA retained CARE Evaluators in July, 2013 to initiate and administer the Countywide In-Person ADA Eligibility and Certification program for Solano County.

**Discussion:**

CARE has evaluated 1,746 Solano residents for ADA eligibility since the beginning of the program in July 2013. Overall, feedback received from applicants is highly positive. Of the 94 comment cards received, 84% were highly satisfied with the service they received. STA's existing contract with CARE will continue through June, 2015 and STA has the option to extend the contract with CARE Evaluators for an additional year. This item is being presented to the SolanoExpress Intercity Transit Consortium for discussion and feedback.

STA has also received verbal requests throughout the year from three Adult Care Facilities in Vallejo and one in Fairfield, for on-site evaluations for their ADA customers. STA requested that each organization submit their requests in writing due to the potential need to amend the current contract with CARE to accommodate the additional sites. No letters have been received from any agencies to date. This item is also being presented to the SolanoExpress Intercity Transit Consortium for discussion.

**Recommendation:**

Informational.

Attachment:

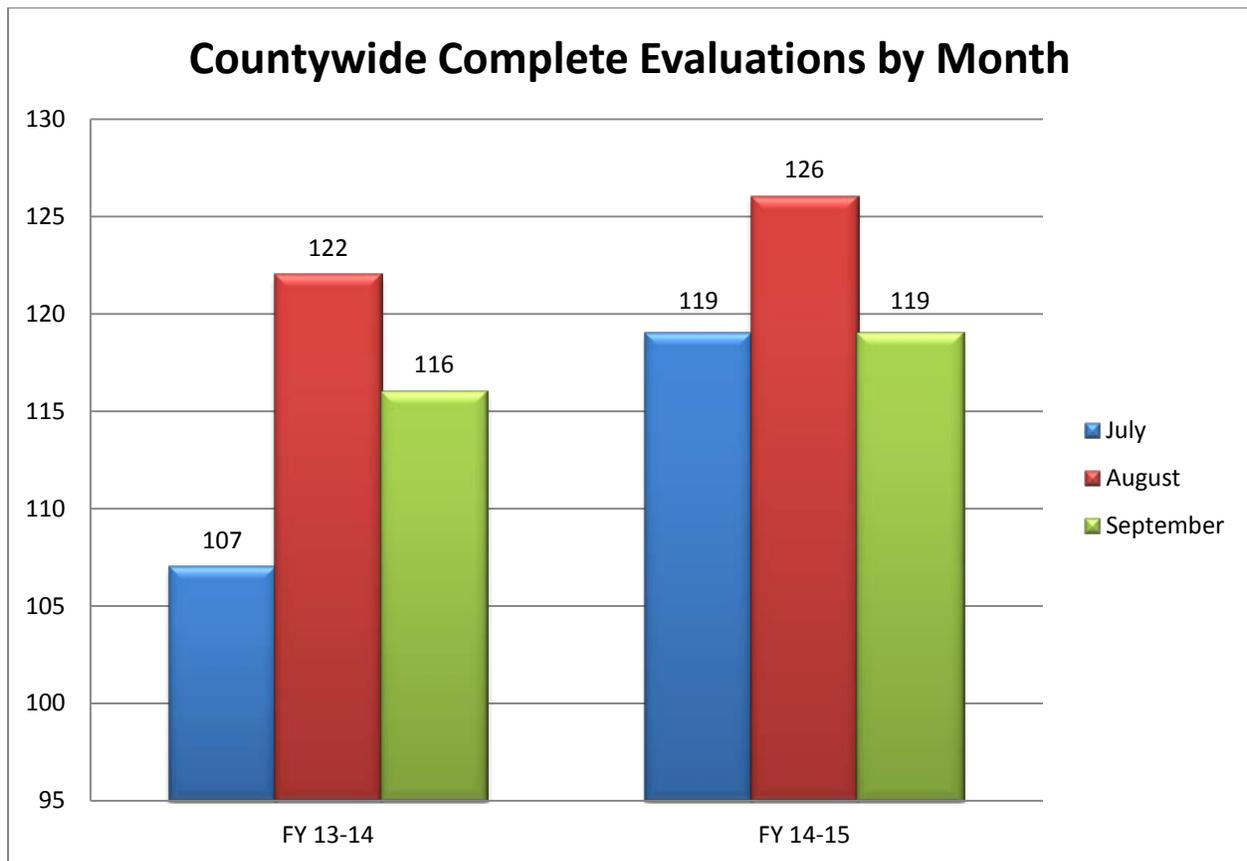
- A. Countywide In-Person ADA Eligibility Program FY 2014-15 Progress Report

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## Countywide In-Person ADA Eligibility Program FY2014-2015 1st Quarter Progress Report

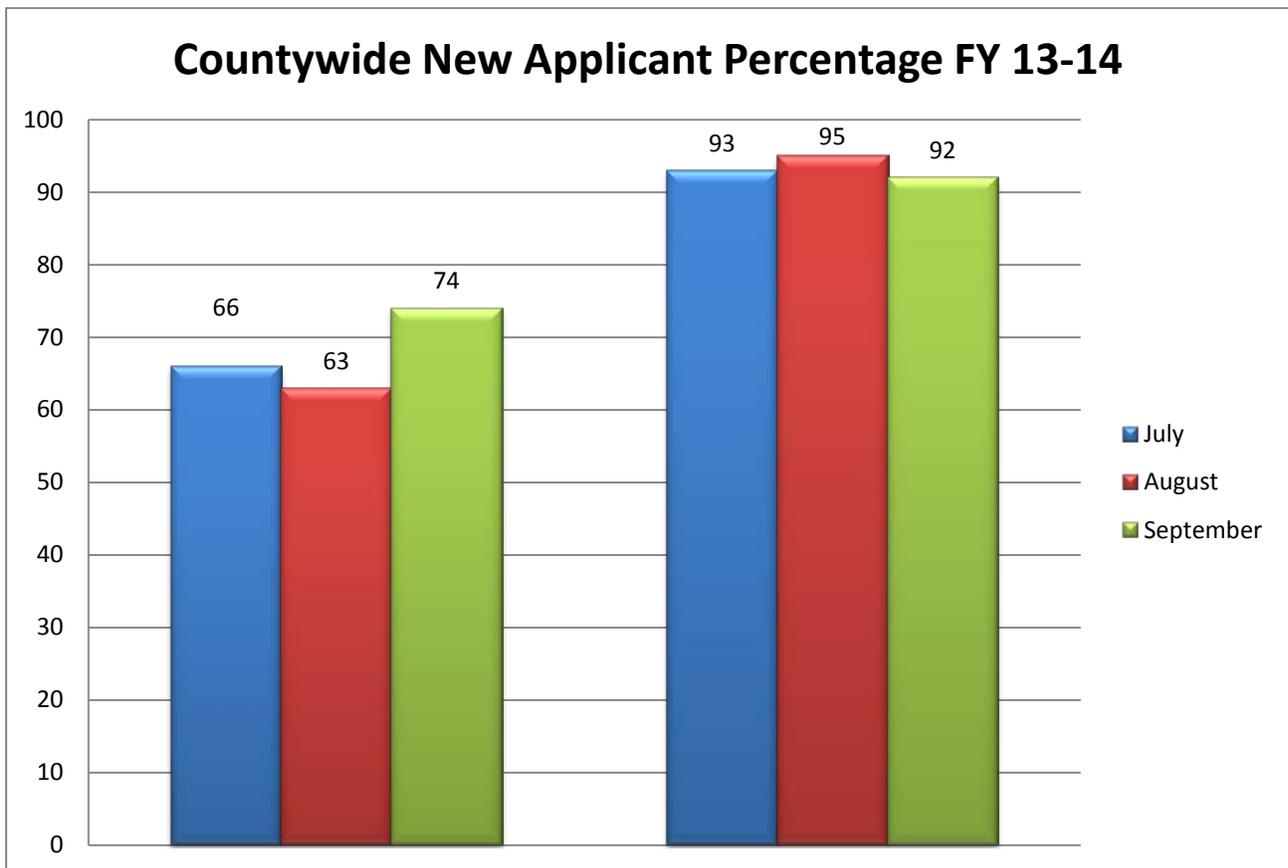
**Applicant Volume by Month:** CARE Evaluators completed 364 evaluations in Solano County in the first quarter of FY 14-15 (July 1, 2014 - September 30, 2014). The total number of evaluations peaked in August, similar to the previous year and increased by 5% overall in comparison to the previous year. On average, 121 evaluations were completed per month.

Applicant Volume and Productivity by Location 1st Quarter FY 14-15						
	Countywide	Dixon Readi-Ride	FAST	Rio Vista Delta Breeze	SolTrans	Vacaville City Coach
<b>Completed</b>	364	7	109	3	150	95
<b>Cancellations</b>	106	4	34	1	44	23
<b>No-Shows</b>	22	1	5	0	11	5
<b>Incompletion Rate</b>	26%	42%	26%	25%	27%	23%



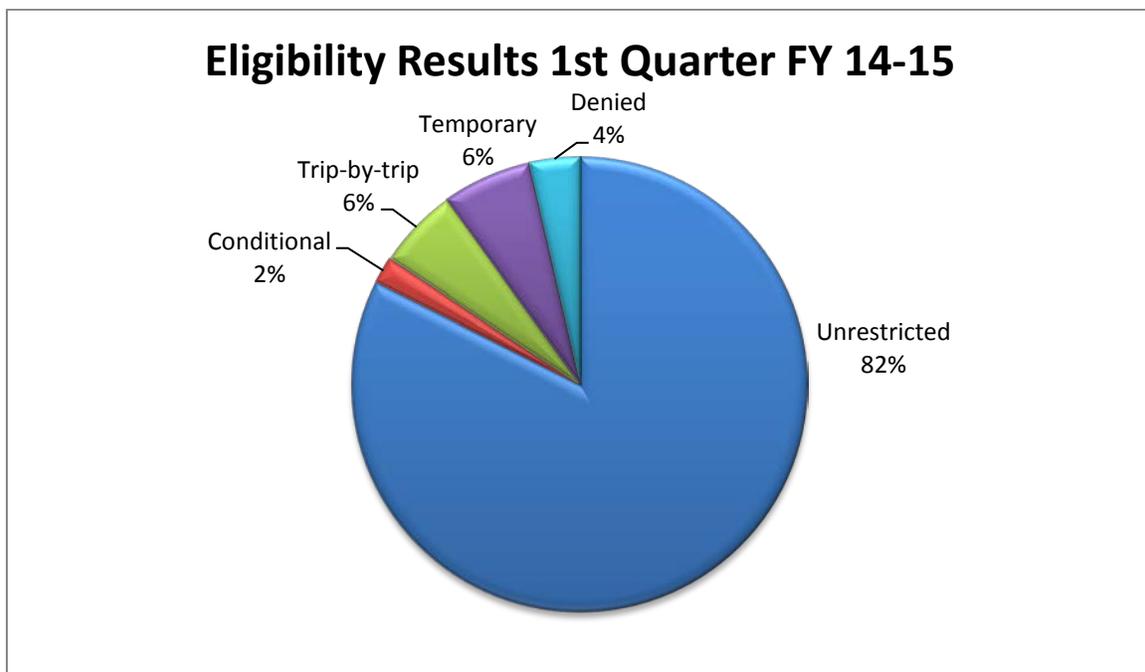
**New versus re-certification:** In the first quarter of FY 14-15, on average 93% of all applicants were new. This is a 25% increase from first quarter FY 13-14 (68%).

<b>Countywide Eligibility Results by Application Type 1st Quarter FY 14-15</b>					
<b>NEW</b>		<b>Percentage</b>	<b>RECERTIFICATION</b>		<b>Percentage</b>
Unrestricted	278	82%	Unrestricted	22	92%
Conditional	7	2%	Conditional	0	0%
Trip-by-trip	20	6%	Trip-by-trip	1	4%
Temporary	22	6%	Temporary	1	4%
Denied	13	4%	Denied	0	0%
<b>TOTAL</b>	<b>340</b>	<b>93%</b>	<b>TOTAL</b>	<b>24</b>	<b>7%</b>



**Eligibility determinations:** Of the 364 completed assessments, 300 (82%) were given unrestricted eligibility, 7 (2%) were given conditional eligibility, 21 (6%) were given trip-by-trip eligibility, 23 (6%) were given temporary eligibility and 13 (4%) were denied. Similar to the first year of the program, the denial rate remains low, suggesting that applicants are self-selecting out of the evaluation process early and are educated about the basic conditions of eligibility.

Eligibility Results By Service Area 1st Quarter FY 14-15						
	Countywide	Dixon Readi-Ride	FAST	Rio Vista Delta Breeze	SolTrans	Vacaville City Coach
<b>Unrestricted</b>	<b>300</b>	5	86	3	91	115
<b>Conditional</b>	<b>7</b>	0	3	0	0	3
<b>Trip-by-trip</b>	<b>21</b>	0	6	0	6	9
<b>Temporary</b>	<b>23</b>	1	8	0	6	7
<b>Denied</b>	<b>13</b>	1	4	0	6	2
<b>Totals</b>	<b>364</b>	<b>7</b>	<b>107</b>	<b>3</b>	<b>109</b>	<b>136</b>

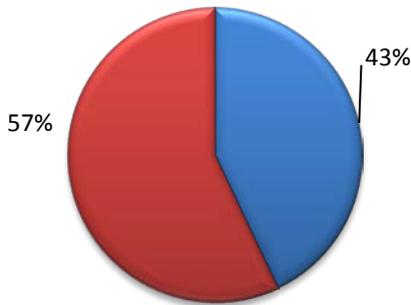


**Impact on Paratransit:** Applicants are provided a complimentary trip on paratransit for themselves and their Personal Care Attendant (PCA) upon request. On average, in the first quarter of FY 14-15, 60% of all scheduled applicants requested a paratransit trip to the assessment site. Complementary paratransit usage has increased slightly from the previous year.

Complementary Paratransit Usage 1st Quarter FY 14-15						
	Countywide	Dixon Readi-Ride	FAST	Rio Vista Delta Breeze	SolTrans	Vacaville City Coach
<b>Own Transportation</b>	145	1	44	2	50	48
<b>Complementary Paratransit</b>	219	6	65	1	100	47
<b>Paratransit %</b>	60%	86%	60%	33%	67%	49%

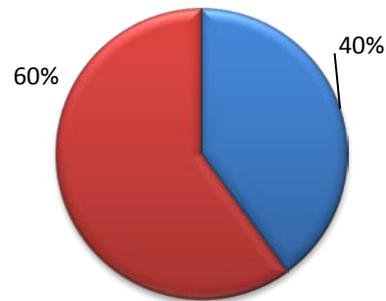
### FY 13-14 1st Quarter

■ Own Transportation ■ Paratransit



### FY 14-15 1st Quarter

■ Own Transportation ■ Paratransit



**Type of Disability:** Many of the applicants who completed the in-person assessment presented more than one type of disability. Nonetheless, the most common type of disability reported was a physical disability 348 (49%) followed by cognitive disability 135 (19%) and visual disability 114 (16%). An auditory disability was the least commonly reported disability, with 19 (3%) of the total.

Disability Type Countywide and by Service Area 1st Quarter FY 14-15						
	Countywide	Dixon Readi-Ride	FAST	Rio Vista Delta Breeze	SolTrans	Vacaville City Coach
<b>Physical</b>	348	6	102	0	144	93
<b>Cognitive</b>	135	2	53	2	49	29
<b>Visual</b>	114	1	30	0	49	34
<b>Audio</b>	19	0	2	0	12	5

**Time to scheduled assessment:** On average, the time between an applicant’s request to schedule an in-person assessment and the date of their assessment was approximately five (5) days. The longest amount of time a client had to wait for an appointment was 16 days. This wait is often attributed to clients rescheduling appointments resulting in a longer wait time between their initial call and their actual appointment. The goal is for clients to receive an appointment within 10 business days or two weeks of their phone call. In FY 13-14 the longest waiting period was 24 days. Through more efficient coordination, lengthy wait times are decreasing overall.

<b>Time (Days) from Scheduling to Appointment 1st Quarter FY 14-15</b>						
	<b>Countywide</b>	<b>Dixon Readi-Ride</b>	<b>FAST</b>	<b>Rio Vista Delta Breeze</b>	<b>SolTrans</b>	<b>Vacaville City Coach</b>
<b>Average for Period</b>	5	1	6	9	7	3
<b>Longest</b>	16	1	14	9	16	11

**Time to receipt of eligibility determination letter:** On average, the time between the applicant’s assessment and the receipt of the eligibility determination letter was 8 days. The longest an applicant had to wait for their determination letter was 17 days. There is a requirement that all ADA determination letters are mailed to clients within 21 days of their evaluation. There were no violations of the 21-day ADA policy this quarter. STA staff continues to work with CARE to monitor performance in order to ensure compliance with terms of the contract.

<b>Time (Days) from Evaluation to Letter 1st Quarter FY 14-15</b>						
	<b>Countywide</b>	<b>Dixon Readi-Ride</b>	<b>FAST</b>	<b>Rio Vista Delta Breeze</b>	<b>SolTrans</b>	<b>Vacaville City Coach</b>
<b>Average for Period</b>	8	6	11	7	7	7
<b>Longest</b>	17	7	17	9	17	14
<b># of Clients Past 21 Days</b>	0	0	0	0	0	0

**Comment Card Summary:** There were a total of 19 ADA Comment Cards received by the STA in the first quarter of FY 14-15. Below is a summary of the scores provided by clients and the number each transit operator received. By far, applicants were “highly satisfied” with the service they received during their assessments.

<b>Comment Card Summary 1st Quarter FY 14-15</b>							
	<b>Countywide</b>	<b>Dixon Readi- Ride</b>	<b>FAST</b>	<b>Rio Vista Delta Breeze</b>	<b>SolTrans</b>	<b>Vacaville City Coach</b>	<b>Not Specified</b>
<b>Very Satisfied</b>	14		4		7	3	
<b>Satisfied</b>	3		2		1		
<b>Neutral</b>	1				1		
<b>Dissatisfied</b>	1				1		
<b>Very Dissatisfied</b>							
<b>Total Received</b>	19		6		10	3	



DATE : December 8, 2014  
TO: SolanoExpress Intercity Transit Consortium  
FROM: Liz Niedziela, Transit Program Manager  
RE: Cap and Trade - STAF Population Based Allocation

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**Background:**

On November 7, Caltrans and CalSTA released draft guidelines for the Low Carbon Transit Operations Program (LCTOP). This is a formula-based program, largely similar to the existing State Transit Assistance (STA) and the Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA) programs. The Metropolitan Transportation Commission (MTC) initial impression of the guidelines is overall positive, given that the guidelines look a lot like the PTMISEA program, which has been relatively straightforward administratively. In their comment letter they plan to make recommendation as listed in Attachment A.

**Discussion:**

The California State Transportation Agency (CalSTA) and Caltrans recently announced two upcoming public workshops to discuss the draft guidelines for the Low-Carbon Transit Operations Program and Transit and Intercity Rail Capital Program, two programs available to transit operators under the state's Cap and Trade Program.

The workshops will provide transit operators an opportunity to engage with State policymakers on the programs and learn how transit aligns with a broad-based state effort to invest Cap-and-Trade auction proceeds into reducing greenhouse gases, as required under AB 32, California's climate action law. See Attachment B for more information.

As per the request of the Consortium, the Cap and Trade – State Transit Assistance Funds (STAF) Population Based Allocation was to be brought back for further discussion specifically to STAF population base. STA staff contacted MTC requesting estimated STAF amounts for the Cap and Trade. The STAF revenue based was provided by the State Controller to MTC as shown in Attachment C. The State Controller has not provided the STAF population based estimate yet, but it is expected to be released soon.

**Recommendation:**

Informational.

Attachments:

- A. MTC Update on Cap and Trade Programs Including Guideline for the Low Carbon Transit Operations Program (LCTOP)
- B. CalSTA and Caltrans Workshop Announcement
- C. California State Controller Letter dated 11/2014

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## TFWG Item 13



METROPOLITAN  
TRANSPORTATION  
COMMISSION

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## *Memorandum*

TO: Transit Finance Working Group

DATE: December 3, 2014

FR: Kenneth Folan and Rebecca Long

RE: Update on State Cap and Trade Programs

### **Low Carbon Transit Operations Program**

On November 7, Caltrans and CalSTA released draft guidelines for the Low Carbon Transit Operations Program (LCTOP). This is a formula-based program, largely similar to the existing State Transit Assistance (STA) and the Public Transportation Modernization, Improvement, and Service Enhancement Account (PTMISEA) programs. The FY 2014-15 State Budget appropriated \$25 million statewide for LCTOP for 2014-15 and Senate Bill 862 (a 2014 budget trailer bill) continuously appropriates 5 percent of the annual auction proceeds in the Greenhouse Reduction Fund (GGRF) for LCTOP beginning in FY 2015-16.

The draft LCTOP guidelines are attached and available at: ([http://www.dot.ca.gov/docs/DiscussionGuidelinesLCTOP\\_11\\_07\\_14.pdf](http://www.dot.ca.gov/docs/DiscussionGuidelinesLCTOP_11_07_14.pdf)). On a November 19<sup>th</sup> conference call with interested parties, Caltrans stated that comments on the draft guidelines would be accepted through December 10<sup>th</sup>. MTC intends to submit a comment letter and would appreciate your input.

Our initial impression of the guidelines is overall positive, given that the guidelines look a lot like the PTMISEA program, which has been relatively straightforward administratively. In our comment letter we plan to recommend that the guidelines:

1. Clarify whether funds can be donated to another operator (as opposed to being transferred to a sub-recipient). If so, this may be helpful to those operators receiving small dollar amounts.
2. Regarding formulaic shares of funds, clarify whether revenue shares will be fixed for the entire fiscal year, or re-calculated and applied retroactively like STA. In general, MTC may recommend year over year variability in fairness to operators coming online with new revenue service.
3. Regarding the provision of a full project funding plan, clarify whether there are allowances for a funding plan of a minimum operable segment if the benefits of the segment are sufficient to meet program objectives, similar to PTMISEA guidelines.

4. Regarding the 50% Disadvantaged Communities (DAC) expenditure requirement, note that for operators with only relatively small DAC in their service areas, this may lead to an inefficient use of resources as LCTOP projects are heavily concentrated in specific areas.

### **Affordable Housing and Sustainable Communities Program**

Draft guidelines for the Affordable Housing and Sustainable Communities (AHSC) program were released by the Strategic Growth Council (SGC) on September 23. Since that time, MTC has actively engaged the SGC, alongside the California Association of Councils of Government (CALCOG), in advocating for a meaningful role for MPOs in this program—consistent with the requirement in SB 862 that SGC coordinate with MPOs on the identification and prioritization of projects. The draft AHSC guidelines were silent on this issue and acknowledged it as an outstanding detail to be addressed at a later date. SGC staff has indicated they plan to release an addendum to the guidelines regarding the MPO role in early December.

Based on conversations with SGC staff, it appears that the addendum to the guidelines will allow MPOs to develop a regional process to identify and recommend AHSC projects to the SGC. Review of initial “concept applications” and full applications by MPOs and SGC would happen in a parallel process, with consultation occurring between MPOs and SGC. MPO recommendations would not be binding on SGC, but would ensure dialogue between regions and the state and consideration of regional priorities. This proposed approach would be solidified in the addendum when that is released.

In an encouraging development, SGC announced on November 24 that it has postponed adoption of the guidelines from December 11<sup>th</sup> to January 20<sup>th</sup>. This will allow more time for SGC staff to consider and revise the program’s guidelines in response to the numerous comments submitted by MTC and many other agencies within the Bay Area and across the state. Once the final guidelines are adopted, MTC staff will develop a process and criteria for regional prioritization of projects for the Commission’s consideration in early 2015.

### **Next Steps**

We will discuss these items at the December 3<sup>rd</sup> Transit Finance Working Group. Please provide us comments at that meeting or by emailing Kenneth Folan at [kfolan@mtc.ca.gov](mailto:kfolan@mtc.ca.gov).

# GREENHOUSE GAS REDUCTION FUND



## Draft Guidelines for LOW CARBON TRANSIT OPERATIONS PROGRAM

November 7, 2014

# Draft Guidelines – GGRF – LCTOP

## Low Carbon Transit Operations Program – Draft Guidelines

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(11/07/14)

# Draft Guidelines – GGRF – LCTOP

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(11/07/14)

**Greenhouse Gas Reduction Fund**  
**Low Carbon Transit Operations Program**

**EXECUTIVE SUMMARY**

The Low Carbon Transit Operations Program (LCTOP) is one of several programs that are part of the Transit, Affordable Housing, and Sustainable Communities Program established by the California Legislature in 2014 by Senate Bill 862. The LCTOP was created to provide operating and capital assistance for transit agencies to reduce greenhouse gas emission and improve mobility, with a priority on serving disadvantaged communities. Approved projects in LCTOP will support new or expanded bus or rail services, expand intermodal transit facilities, and may include equipment acquisition, fueling, maintenance and other costs to operate those services or facilities, with each project reducing greenhouse gas emissions. For agencies whose service area includes disadvantaged communities, at least 50 percent of the total moneys received shall be expended on projects that will benefit disadvantaged communities. Senate Bill 852 (Statutes of 2014) appropriates \$25 million for LCTOP for 2014-15 and Senate Bill 862 continuously appropriates 5 percent of the annual auction proceeds in the Greenhouse Gas Reduction Fund (GGRF) for LCTOP beginning in 2015-16.

Senate Bill 862 establishes the LCTOP as a formulaic program instead of a state-level competitive program. The California Department of Transportation (Caltrans) is responsible for ensuring that the statutory requirements of the program are met in terms of project eligibility, greenhouse gas reduction, disadvantaged community benefit, and other requirements of law. However, as a formulaic program, local agency recipients are responsible to ensure projects selected provide maximum public benefits. As such, recipients are strongly encouraged to select those projects that maximize public benefits for transit ridership, greenhouse gas reduction, disadvantaged community benefit, and other co-benefits. Recipient agencies are encouraged to work closely with their Metropolitan Planning Agencies, Regional Transportation Planning Agencies, local governments, and affected communities, to achieve co-benefits including but not limited to encouragement of infill development, low-income housing, protection of disadvantaged communities from displacement, active transportation benefit, and other environmental and health benefits. Caltrans may require reporting on project co-benefits, not for eligibility analysis but to gauge the effectiveness of the overall program. This program will be administered by Caltrans in coordination with Air Resources Board and the State Controller's Office (SCO).

**HISTORY**

Assembly Bill 32 (AB 32), the California Global Warming Solutions Act of 2006, took a long-term, comprehensive approach to addressing climate change and its effects on the environment and natural resources. In order to slow the effects of climate change, AB 32 set the requirement that by 2020 California must reduce greenhouse gas emissions to the level of 1990, a reduction of approximately 15 percent of the normally expected level of emissions. AB 32 additionally calls for continued greenhouse gas reduction beyond 2020. The Air Resources Board (ARB) was directed to be the lead agency to implement the law. The ARB worked in coordination with multiple state agencies through the Climate

## Draft Guidelines – GGRF – LCTOP

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Action Team. AB 32 required ARB to develop a Scoping Plan, laying out the strategy to meet the goals set in law. Part of the Scoping Plan establishes the GGRF, which is funded by fees annually collected from large sources of greenhouse gases and also from proceeds of ARB's quarterly auction of emissions credits.

The Sustainable Communities and Climate Protection Act of 2008 (SB 375) supports the State's climate action goals to reduce greenhouse gas emissions through coordinated transportation and land use planning to encourage more sustainable communities. Metropolitan Planning Organizations are directed to develop a "sustainable communities' strategy" as an integral part of their Regional Transportation Plan.

Passed in 2011, Senate Bill 535 (SB 535) directs State and Local agencies to make significant investments that improve California's most vulnerable communities. The identification of "disadvantaged communities" is assigned to the California Environmental Protection Agency (CalEPA), and the establishment of guidelines for qualifying expenditures is assigned to the California ARB.

As one of the programs established in the Transit, Affordable Housing, and Sustainable Communities Program by SB 862 in 2014, the Low Carbon Transit Operations Program will draw funds from the Greenhouse Gas Reduction Fund to support transit agencies in their efforts to increase transit ridership and to meet the statewide greenhouse gas reduction goals of AB 32 and the associated regional greenhouse gas reduction goals of SB 375. SB 862 directs Caltrans, in coordination with ARB, to develop guidelines describing methodologies to meet the criteria for LCTOP. The Strategic Growth Council will review the LCTOP Guidelines for consistency with state policy goals.

### IMPLEMENTATION

Working with the California State Transportation Agency (CalSTA), Caltrans participated in workshops to gather input from local agencies and the public to help develop the guidelines. Input from these workshops has been an integral part of the development of these guidelines. Final LCTOP Guidelines will include ARB guidance related to measurement of greenhouse gas reduction benefits and qualification of benefits for and in disadvantaged communities. After final LCTOP Guidelines are adopted, Caltrans will invite eligible transit agencies to submit projects for Caltrans review. Caltrans, in consultation with ARB, will determine whether proposed projects and expenditures are eligible for funding before authorizing the SCO to release funds to the project sponsors.

The following Draft LCTOP Guidelines describe the process that recipient transit agencies must follow to qualify and receive a share of the Fund. These funds are available to provide operations, maintenance, and capital assistance for transit agencies with the goals of reducing greenhouse gas emissions, improving mobility for the California public, and include a priority to serve disadvantaged communities. Caltrans anticipates that the final interim guidelines will be adopted in December 2014.

In Fiscal Year 2014-15, the Budget Act appropriated \$25 million to the Low Carbon Transit Operations Program from the GGRF. Eligible transit agencies will be notified of their share of the available funds on December 1, 2014, and Caltrans will provide the interim guidelines by December 19, 2014. The recipient

## Draft Guidelines – GGRF – LCTOP

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agencies will have until February 1, 2015 to submit expenditure proposals to Caltrans. The projects will then be reviewed by Caltrans and ARB to assure compliance with the requirements of SB 862 and the interim guidelines. By April 1, 2015, Caltrans will submit a final list of approved expenditures to SCO, and the approved amount of funds will be available for release by April 15, 2015. Details of this procedure are included in the following guidelines.

## Low Carbon Transit Operations Program – Draft Guidelines

### Roles and Responsibilities – Partner Agencies

1. **Air Resources Board (ARB)**
  - ARB will develop the methodology for measurement of greenhouse gas reduction and provide guidance to the State agencies administering the GGRF proceeds.
  - ARB will adopt guidelines for investing GGRF proceeds in California’s most disadvantaged communities.
  - ARB will coordinate with Caltrans to help develop the guidelines for LCTOP.
  - ARB will work with Caltrans to determine the eligibility of the projects submitted by the Project Sponsors.
2. **Strategic Growth Council (SGC) (GC 75200.1)**
  - SGC will review and coordinate the activities of member agencies of the council for each program under the Affordable Housing and Sustainable Communities Program.
  - SGC will review the grant guidelines of each program.
  - SGC will coordinate outreach to promote access and program participation in disadvantaged communities.
3. **State Controller’s Office**
  - a. SCO will prepare a list of eligible project sponsors and the formulaic share of funds each is to receive in the state fiscal year, per PUC Sections 99313 and 99314. By December 1, 2014, the SCO shall notify eligible project sponsors of the funding level each agency may receive from the \$25 million appropriated by SB 852. In 2015-16 and each fiscal year thereafter, the SCO shall notify eligible project sponsors of the estimated dollar level each will receive. Starting in 2015-16, the estimate of funding available for the fiscal year shall be based on the estimate provided to the SCO by Caltrans in consultation with the Department of Finance (DOF).
  - b. SCO will allocate LCTOP funds to eligible project sponsors based on the notification list of approved expenditures submitted to Caltrans by local agencies. Caltrans, in coordination with ARB, will review the projects submitted by local agencies for compliance with the criteria established in law, then Caltrans will authorize SCO to release the funds.
4. **Department of Finance**

Upon enactment of the annual budget, DOF will consult with Caltrans to provide information on the amount of auction proceeds reflected in the budget for the fiscal year.

### Roles and Responsibilities – Administrative Agencies

5. **Caltrans**, in coordination with the ARB, develops the guidelines for the LCTOP, defining the criteria for project eligibility and reporting requirements. Caltrans will have Guidelines that will explain the following process to apply for LCTOP funds:
  - a. Project eligibility for capital, operational and maintenance projects

## Draft Guidelines – GGRF – LCTOP

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- i. Greenhouse gas reduction benefit
- ii. Compliance with required benefits for disadvantaged communities
- iii. The useful life of a project
- iv. Project delivery milestones
- v. Total project cost and funding plan
- b. Allocation Request Process
  - i. Required forms
  - ii. Request review and approval
- c. Project Reporting requirements
  - i. Semi-annual Reports
  - ii. Final Reports
  - iii. Expanded Transportation Development ACT (TDA) audit
- d. Program Reporting requirements
  - i. Annual Legislative Report
  - ii. Annual Expenditure Record
- e. Audits
  - i. Audit of project expenditures and outcomes
  - ii. Audit of recipients of LCTOP funds
  - iii. Spot audits of projects

**Caltrans** will be the administering agency for this program and will provide assistance and guidance to local agencies in receiving their allocation by:

- a. Providing process directions through written Guidelines and support staff available for consultation
  - b. Setting up the schedule for the allocation process
  - c. Project evaluation, in collaboration with ARB, to determine approval of the allocation requests
  - d. Sending a list of approved expenditures for each transit agency to SCO for release of funds
  - e. Monitoring progress of projects through reporting requirements
  - f. Coordinating with ARB and SCO to assure compliance with LCTOP criteria
  - g. Reviewing project completion
  - h. Conducting spot audits and on-site monitoring as needed
  - i. Preparing annual program report for the Legislature
- 6. Eligible Project Sponsors, qualified by Public Utilities Code (PUC) 99313 and 99314**
- A transportation planning agency and county transportation commission, or the San Diego Metropolitan Transit Development Board, that is eligible for State Transit Assistance funds, per PUC 99313, is eligible for allocations from the GGRF for this

program. The allocation share is determined by formula based on the ratio of the population of the area under its jurisdiction to the total population of the state.

- A transit operator, including a transportation planning agency, a county transportation commission, or the San Diego Development Board, that is eligible for State Transit Assistance funds per PUC 99314, is eligible for allocations from the GGRF for this program. The allocation share is determined by formula based on the ratio of the revenue of the transit operator's jurisdiction to the total revenue of all operators in the state.

### **7. Project Lead/Recipient Agency**

- The project lead/recipient agency is responsible for overseeing or performing all work up to completion of the project when multiple project sponsors contribute LCTOP funds to a joint project.
- The project lead/recipient agency receives all LCTOP funds directly from the SCO and is accountable for all reporting. If funds are transferred to a sub-recipient, the original/initial recipient agency is still responsible for providing all information required in progress and final reports, as directed by statute. A sub-recipient agency could be a transit agency qualifying under Public Utility Code section 99314, who received a transfer of from a project lead / recipient agency qualifying under Public Utility Code section 99313. A sub-recipient agency is responsible for complying with any agreement it has with the Recipient agency.
- All project documentation (i.e., Reports, Transportation Development Act Audits, Corrective Action Plans, Reassignment of GGRFs requests, Final Reports, and any additional information needed in case of an audit) is the responsibility of the project lead/recipient agency. In addition, the original/initial recipient agency is responsible for ensuring the project is completed as described in the allocation request and in compliance with all items included in the Certifications and Assurances document.

### **Project Eligibility Criteria**

Projects must be evaluated to ensure it provides a greenhouse gas reduction benefit and evaluated to see if the investments could result in projects that benefit disadvantaged communities, and/or are located within a disadvantaged community.

LCTOP was created to provide operating and capital assistance for transit agencies to reduce greenhouse gas emissions and improve mobility, with a priority on serving disadvantaged communities. ARB has provided all agencies administering GGRF monies with the following guidance on how to incorporate these priorities in project criteria.

- 8. Greenhouse Gas Reduction criteria** *(measurement criteria to be provided by ARB and will be included at that time)*

### 9. Disadvantaged Communities criteria (provided by ARB in the Interim Guidance to Agencies Administering Greenhouse Gas Reduction Fund Monies, 10/20/14 version):

For transit agencies whose service areas include disadvantaged communities (DAC) as identified in Section 39711 of the Health and Safety Code, at least 50 percent of the total moneys received shall be expended on projects or services that benefit the DAC. The California Environmental Protection Agency (Cal EPA) shall identify disadvantaged communities based on geographic, socioeconomic, public health, and environmental hazard criteria. This process will utilize CalEnviroScreen, a tool that assesses all census tracts in the State to identify areas disproportionately affected by multiple types of pollution and areas with vulnerable populations.

Eligible Project Sponsors shall consult the CalEPA website (<http://oehha.ca.gov/ej/ces2.html>) to determine which, if any, disadvantaged communities fall within their service areas, and report those in the format proscribed by Caltrans. Only the Cal EPA designation of disadvantaged communities shall be used for the purpose of the LCTOP. Eligible Project Sponsors with service areas that include disadvantaged communities shall consult the ARB's website (<http://www.arb.ca.gov/cc/capandtrade/auctionproceeds/auctionproceeds.htm>) for the most recent information on the criteria to evaluate projects which are (1) located within a disadvantaged community, and (2) not within a disadvantaged community, but still provide a benefit to a disadvantaged community. Where applicable, eligible Project Sponsors shall describe the benefits of selected projects to disadvantaged communities in the format proscribed by Caltrans. **Projects eligible for these funds must be designed to avoid displacement of disadvantaged community residents and businesses.**

The ARB's criteria for disadvantaged communities, as adopted by the Board on September 18, 2014, are listed below. If these criteria are later updated, and these LCTOP guidelines have not been updated, the ARB updated criteria will take precedent over the criteria listed below.

The following criteria is provided to assist the recipients in determining if projects will provide direct, meaningful, and assured benefits to a disadvantaged community. **Each criterion is independent; a project need only meet one criterion to qualify as eligible to be considered as located within or providing benefits to one or more disadvantaged communities.**

Projects will achieve greenhouse gas (GHG) reductions by reducing passenger vehicle miles travelled through incentives, infrastructure, or operations improvements (e.g., providing better bus connections to intercity rail, encouraging people to shift from cars to mass transit). The applicable ARB criterion below is split into two parts: Low Carbon Transportation and Transit Projects.

### Low Carbon Transportation:

Projects will achieve GHG reductions through the use of zero and near zero-emission passenger vehicles, buses, trucks, and freight technology.

#### DRAFT CRITERIA TO EVALUATE PROJECTS

Step 1 – Located Within: Evaluate the project to see if it meets at least one of the following criteria for being located in a disadvantaged community census tract and provides direct, meaningful, and assured benefits to a disadvantaged community.

Project must meet at least one of the following criteria focused on reducing air pollution for disadvantaged community residents:

- a. Project provides incentives for vehicles or equipment to those with a physical address in a disadvantaged community; or
- b. Project provides incentives for vehicles or equipment that will be domiciled in a disadvantaged community; or
- c. Project provides incentives for vehicles or equipment that reduce air pollution on fixed routes that are primarily within a disadvantaged community (e.g., freight locomotives) or vehicles that serve transit stations or stops in a disadvantaged community (e.g., zero-emission buses); or
- d. Project provides greater mobility and increased access to clean transportation for disadvantaged community residents by placing services in a disadvantaged community, including ride-sharing, car-sharing, or other advanced technology mobility options (e.g., neighborhood electric vehicles, vanpooling, shuttles, smartphone application-based ride-sharing services, bikesharing services).

Step 2 – Provides Benefits To: If the project does not meet the above criteria for “located within,” evaluate the project to see if it meets at least one of the following criteria for providing direct, meaningful, and assured benefits to a disadvantaged community.

Project must meet at least one of the following criteria focused on reducing air pollution for disadvantaged community residents:

- a. Project provides incentives for vehicles or equipment to those with a physical address in a ZIP code that contains a disadvantaged community census tract; or
- b. Project provides incentives for vehicles or equipment that operate primarily in “impacted corridors,” [Note: ARB will publish a list of “impacted corridors” based on its assessment of which freight corridors have a substantial air quality impact on disadvantaged communities.]; or

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- c. Project provides incentives for vehicles or equipment that primarily serve freight hubs (e.g., ports, distribution centers, warehouses, airports) located in a ZIP code that contains a disadvantaged community census tract; or
- d. Project provides greater mobility and increased access to clean transportation for disadvantaged community residents by placing services that are accessible by walking within ½ mile of a disadvantaged community, including ride-sharing, car-sharing, or other advanced technology mobility options (e.g., neighborhood electric vehicles, vanpooling, shuttles, bikesharing services).

### Transit Projects:

Projects will achieve GHG reductions by reducing passenger vehicle miles travelled through incentives, infrastructure, or operational improvements (e.g., providing better bus connections to intercity rail, encouraging people to shift from cars to mass transit).

### DRAFT CRITERIA TO EVALUATE PROJECTS <sup>1</sup>

Agencies can also use criteria in other applicable tables.

**Step 1 – Located Within:** Evaluate the project to see if it meets at least one of the following criteria for being located in a disadvantaged community census tract and provides direct, meaningful, and assured benefits to a disadvantaged community.

Project must meet at least one of the following criteria focused on increasing transit service along transit lines or corridors that have stations or stops in a disadvantaged community, or improving transit access for disadvantaged community residents, or reducing air pollution in a disadvantaged community:

- A. Project provides improved transit or intercity rail service for stations or stops in a disadvantaged community (e.g., new transit lines, more frequent service, greater capacity on existing lines that are nearing capacity, improved reliability, bus rapid service for disadvantaged community residents); or
- B. Project provides transit incentives to residents with a physical address in a disadvantaged community (e.g., vouchers, reduced fares, transit passes); or
- C. Project improves transit connectivity at stations or stops in a disadvantaged community (e.g., network/fare integration, better links between transit and active transportation); or
- D. Project improves connectivity between travel modes for vehicles or equipment that service stations or stops in a disadvantaged community (e.g., bicycle racks on transit vehicles); or
- E. Project creates or improves infrastructure or equipment that reduces air pollution at a station, stop or transit base in a disadvantaged community (e.g., auxiliary power, charging stations); or
- F. Project creates or improves infrastructure or equipment that reduces air pollution on regular routes that are primarily within a disadvantaged community (e.g., rail electrification, zero-emission bus); or

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<sup>1</sup> If applicable, other criteria in ARB's guidance may be used.

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- G. Project provides greater mobility and increased access to clean transportation for disadvantaged community residents by placing services in a disadvantaged community, including ride-sharing, car-sharing, or other advanced technology mobility options associated with transit (e.g., neighborhood electric vehicles, vanpooling, shuttles, smartphone application-based ride-sharing services, bikesharing services); or
- H. Project improves transit stations or stops in a disadvantaged community to increase safety and comfort (e.g., lights, shelters, benches).

**Step 2 – Provides Benefits To:** If the project does not meet the above criteria for “located within,” evaluate the project to see if it meets at least one of the following criteria for providing direct, meaningful, and assured benefits to a disadvantaged community.

Project must meet at least one of the following criteria focused on increasing transit service along transit lines or corridors that are accessible to disadvantaged community residents, or improving transit access for disadvantaged community residents, or reducing air pollution in a disadvantaged community:

- A. Project provides improved local bus transit service for riders using stations/ or stops that are accessible by walking within ½ mile of a disadvantaged community (e.g., more frequent service, rapid bus service); or
- B. Project improves local bus transit connectivity for riders using stations or stops that are accessible by walking within ½ mile of a disadvantaged community (e.g., better links to active transportation, bicycle racks on local bus); or
- C. Project provides improved intercity rail (and related feeder bus service), commuter bus or rail transit service for riders using stations or stops in a ZIP code that contains a disadvantaged community census tract (e.g., new lines, express bus service); or
- D. Project provides improved intercity rail (and related feeder bus service), commuter bus or rail transit connectivity for riders using stations or stops in a ZIP code that contains a disadvantaged community census tract (e.g., network/fare integration, better links between local bus and intercity rail, bicycle racks on rail); or
- E. Project will increase intercity rail (and related feeder bus service), commuter bus or rail transit ridership, with at least 25% of new riders from disadvantaged communities; or
- F. Project provides greater mobility and increased access to clean transportation for disadvantaged community residents by placing services that are accessible by walking within ½ mile of a disadvantaged community, including ride-sharing, car-sharing, or other advanced technology mobility options associated with transit (e.g., neighborhood electric vehicles, vanpooling, shuttles); or
- G. Project improves transit stations or stops that are accessible by walking within ½ mile of a disadvantaged community, to increase safety and comfort (e.g., lights, shelters, benches); or
- H. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 25% of project work hours performed by residents of a disadvantaged community; or
- I. Project includes recruitment, agreements, policies or other approaches that are consistent with federal and state law and result in at least 10% of project work hours performed by residents of a

disadvantaged community participating in job training programs which lead to industry-recognized credentials or certifications.

### 10. Eligible Projects

Per Public Resource Code 75230 (d) (1-3) moneys shall be expended to provide transit operating or capital assistance that meets all of the following criteria:

- Expenditures supporting new or expanded bus or rail services, or expanded intermodal transit facilities, and may include equipment acquisition, fueling, and maintenance, and other costs to operate those services or facilities,
- The recipient transit agency demonstrates that each expenditure directly enhances or expands transit service to increase mode share, and
- The recipient transit agency demonstrates that expenditures reduce greenhouse gas emissions.

#### A. Transit Capital Projects (as defined in Title 49 USC 5302)

- New or expanded bus or rail services, facilities and equipment (e.g., new construction, expansion or modernization of buildings, bus shelters, or transit centers with a priority to those that reduce greenhouse gas emissions and/or that benefits a disadvantaged community)
- Purchase of equipment for rehabilitation, safety or modernization (e.g., bus engines, computer systems, and signage)
- Expanded intermodal transit facilities (e.g., modernization of bus shelters, transit centers, and operations and maintenance facilities, etc.)
- Bus rapid transit (BRT) improvements (e.g., construction or expansion of BRT lanes or equipment)
- Rolling stock (e.g., purchase, replace or rehabilitate transit vehicles, such as buses, vans, paratransit vehicles, and rail transit vehicles)
- Purchase of equipment and/or materials that will enhance or modernize transit operations
- Purchase of equipment that will enhance or modernize maintenance of transit facilities and transit fleet

#### B. Transit Operations Projects

- Fueling for transit fleet
- Costs of operational revisions that will increase mode share, increase ability to reduce GHG emissions, and benefit the residents of a DAC.
- Outreach to community to increase transit ridership
- Transit passes or discounts that increase transit ridership
- Other costs to operate transit services or facilities

### C. Transit Maintenance Projects

- Costs of revisions to maintenance procedures that will enhance reliability and safety, and will achieve higher ridership
- Costs of converting equipment to enhance efficiency of fleet and maintenance equipment
- Other costs to maintain transit services or facilities

Transit operations and maintenance investments made in one year may be included in subsequent years' project plans. For example, if a transit operator uses LCTOP funds to expand transit service in one year, future years' projects may include the continuation of that same service, through the funding of related operations or maintenance costs.

Transit capital investments that include the purchase of new zero-emission vehicles may be presumed to meet the service enhancement and mode-share increase requirements of Public Resource Code 75230 (d).

### 11. Useful Life

To be eligible, capital projects must have a useful life not less than that typically required for capital assets (rolling stock, infrastructure, rail infrastructure, equipment) pursuant to the State General Obligation Bond Law, (Chapter 4 (commencing with Section 16720) of part 3 of Division 4 of Title 2) specifically subdivision (a) of Section 16727. Buses and rail rolling stock, including paratransit vehicles, are considered to be equipment with a useful life of two years or more.

### 12. Transit Plan

Projects **must** be consistent with the project sponsor's most recent short-range transit plan, regional plan, or publicly-adopted plan (including a transportation improvement program) that programs funds for transit projects. If the project sponsor is in a Metropolitan Planning Organization area, the project should also be consistent with the Sustainable Communities Strategy, as required by SB375. A certified Board Resolution authorizing the capital, operational, or maintenance project also meets this requirement.

### 13. Project Full Funding Plan

The project sponsor must provide a Total Project Cost and Funding Plan for the project that shows **all** fund sources (not just the LCTOP portion) needed to complete the project. **The executive authority of a project sponsor must sign the statement on the funding plan cover sheet to assume all fiscal responsibilities.** If future year LCTOP funding is to be dedicated to the project, include those funds on the Total Project Cost and Funding Plan sheet as well.

If this transit project is part of a development project that is inclusive of multiple types of projects and funding (i.e., transit, development, housing, mixed land use, etc.), the LCTOP project must be

able to be clearly identified for the purposes of reporting and tracking. Please supply a copy of the total development plan, of which the transit project is identified as an integral component.

### **14. Documentation (forms) for Allocation requirements**

- a. **List of Proposed Expenditures** - Per PRC 75230 (h) (1) the sponsor shall submit a list of proposed expense types for anticipated funding levels.
- b. **Authorized Agent Form** – The executive authority of a project sponsor must submit to Caltrans a signed and dated Authorized Agent form that is Board Approved, identifying the agent who has the authority to act for the project sponsor to submit the Allocation Request and reporting documents. If there is a change in the authorized agent, the project sponsor must submit a new form. This form is required even when the authorized agent is the executive authority himself.
- c. **Certifications and Assurances** – Before submitting an Allocation Request, the project sponsor must submit a self-certification that he/she will meet all requirements of the LCTOP guidelines, including reporting deadlines. Only allocation requests from agencies with a signed Certifications and Assurances document on file will be accepted.
- d. **Allocation Request and Project Description** -- Project sponsors must submit to Caltrans a description of the proposed transit capital, operational or maintenance project or projects it intends to fund with the LCTOP allocation. A guide for this form will be available on-line. The LCTOP Allocation Request is the basis for Caltrans' verification that the project is consistent with LCTOP project requirements. This document includes:
  - Identification of project sponsor
  - Signature page signed by project sponsors (must have an Authorized Agent form on file)
  - A detailed summary of the project
  - Detailed Description of major benefits (compliance details of improved mobility, increased mode share, greenhouse gas reduction, and benefits to disadvantaged communities)
  - Project Schedule for all relevant phases (allocations will only be made to fund phases or projects scheduled to start within six months of receipt of funds)
  - Total project cost and funding plan (must include all funding sources)
  - Projected cash flow schedule

Any contributing project sponsor(s) must also sign the allocation request indicating the dollar amounts to be contributed, or provide a signed letter detailing this information. If there are multiple contributing project sponsors, each sponsor must sign the allocation request indicating their respective portion of funds being contributed or submit a signed letter with the required information as described above.

**Allocation Request Submittal** -- The signed original allocation request (including relevant sections of the publicly-adopted plan or Board Resolution) and letter of verification from the regional entity must be mailed to:

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LCTOP Program  
California Department of Transportation  
Division of Rail and Mass Transportation, MS #39  
P.O. Box 942874  
Sacramento, CA 94274-0001

A scan of the allocation request may be e-mailed, but a signed original must follow by mail. Agencies who fail to submit revisions made to the Allocation Request as requested by Caltrans staff and/or are delinquent in other required reports and submittals will not receive additional allocations of LCTOP funds until all delinquent items have been submitted and approved.

- e. **Corrective Action Plan (CAP)** – To change an approved allocated project, including any changes to the originally approved scope, schedule, or cost, the project sponsor must first obtain approval from Caltrans by submitting a CAP form. This must be done before the funds can be applied to any use other than the current project’s approved scope of work. Funds may not be used on a different project until the CAP has been submitted and approved. The CAP must indicate the current approved scope, funded amounts, and schedule in the “Original” column on the left. The revised scope, funding amounts, and schedule are to be listed in the “Revised” column on the right. If a project has already undergone changes with previously approved CAPs, the current approved information should be entered in the “Original” column, rather than the information from the original allocation request. If the project schedule is being revised to reflect any delays or obstacles, an adequate justification must be given and the amended LCTOP project completion date must fall within the original Budget Act time limits.

All CAPs must have the Justification for Change box filled in. If a justification is not deemed adequate by Caltrans staff, the agency will be asked to provide a revised justification before the CAP is approved.

If it is found that an agency has begun spending funds on a task or project outside the approved scope of work prior to submitting a CAP, the agency will be placed on the list of high risk project sponsors. Caltrans is entitled to recover any and all funds that are spent on any ineligible costs.

**Upon receipt of the CAP, Caltrans has 45 days to review and approve/not approve the document.**

- f. **Letter of No Prejudice (LONP)** – (for project ready to proceed before allocation). Project Sponsors may apply to Caltrans for a Letter of No Prejudice (LONP) for one or more projects or project components. If approved by Caltrans, the LONP allows a project sponsor to expend its own funds (i.e., incur reimbursable expenses) for any Caltrans approved project component and to be reimbursed in the future as funds become available through auction of Cap and Trade credits. Caltrans gives equal opportunity of available funding to project sponsors with

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an approved LONP as well as those that require an allocation approval to begin. (See LCTOP LONP Guidelines) Upon receipt of the LONP request, Caltrans has 45 days in which to review and approve/not approve the document.

Agencies who fail to submit revisions made to the LONP Request as requested by Caltrans staff and/or are delinquent in other required reports and submittals will not receive additional allocations of LCTOP funds until all delinquent items have been submitted and approved.

**Project sponsors proceed at their own risk, as project expense reimbursement under the LONP depends on the availability of auction funds in the GGR Fund.**

### 15. Documentation for Reporting Requirements

#### a. Project Reporting Requirements (responsibility of Project Sponsor)

- **Semi-Annual Progress Report** - Project sponsors are required to report semiannually to Caltrans on the activities and progress of each approved and allocated project to ensure those activities funded from auction proceeds are timely, within approved scope and cost, and are achieving the intended purpose for which they are to be utilized. Project sponsors must notify Caltrans when allocated LCTOP funds have been encumbered and must provide completed and signed progress reports every six months until the approved project is completed, and the project final report has been filed.

The report consists of two sections, the “Semi-Annual Report” and the “Semi-Annual Itemized Expenditure Table.” This report must contain accurate and up-to-date information on the progress of each project. Reports will only be accepted by Caltrans staff when determined to be complete and accurate.

- All projects are expected to begin work within six months of receiving an allocation. Should a project experience any delays, the cause of such delay must be reported in the table in Section 7 Amendment, under “Justification for Change.” Any justification deemed inadequate by Caltrans staff will be questioned and the agency will be asked to provide further information.
- Projects that have not begun within one year of the receipt of funds must include a clear description of the circumstances delaying the project that leaves no question that the circumstances were unforeseen, extraordinary, and beyond the control of the agency. The description must include information indicating what steps the agency plans to take to keep the project on track. Agencies with a project that is repeatedly delayed will be encouraged to reassign the funds allocated to that project to either an ongoing project or a pending allocation request that can utilize the funds immediately. The agency may then request the funds for the delayed project once the project is ready to proceed within six months.

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Reports are due 45 days after the end of the fiscal year (June 30) and 45 days after the end of calendar year (December 31).

All reports must reflect accurate and complete project information. Any incomplete or inaccurate reports will not be accepted and will be considered delinquent until submitted with corrections and/or additional information as requested by Caltrans staff. Agencies found to have submitted inaccurate information will be placed on the list of high risk project sponsors and could be subjected to a Spot Audit [see Section 15 (b)].

- Final Project Report – Once a project has been completed, the Project Sponsor must notify Caltrans, Division of Rail and Mass Transportation by e-mail or letter. Within six months of completion, the project sponsor must submit a Final Project Report. The forms will be available on-line. The Final Project Report includes:
  - a. Final Project Report form. This report must include the comparison of actual project performance of the final project to the projected performance when the allocation was requested.
  - b. Final Project Itemized Expenditure Table.
  - c. Verification of project completion as scoped. The project sponsor must provide evidence of project completion. In the majority of cases, evidence of project completion can be satisfied by submitting one or more of the following:
    - Photographs of the completed project
    - A copy of the final invoicing
    - A copy of the punch list from the facility's final walk-through, or
    - If the project is a vehicle, supply the Vehicle Identification Number (VIN) of the vehicle(s) acquired.

The above list is only a few samples of what can be used to show evidence of completion of a project. Please feel free to contact the LCTOP office to discuss what other means may exist for your circumstances.

- d. Savings -- If the project has been completed with a savings, the report should indicate the amount of savings and how those funds will be applied towards an eligible LCTOP project. Any project cost savings not reassigned to a current project, should be applied to the next allocation request submitted, and used prior to, or along with, the allocation of additional funds. LCTOP staff will inquire about the status of any outstanding cost savings every six months until said savings are exhausted.

Please ensure that expenditure interest and all other information in the final report is properly reported. Incomplete or incorrect reports will not be accepted and will be

considered delinquent until corrections are provided. Agencies with delinquent reports will not receive further LCTOP allocations until the correct reports have been received by Caltrans.

**b. Program Reporting Requirements (responsibility of Caltrans)**

- i. Annual Legislative Report:** Per Health and Safety Code Section 39721 administering agencies shall report to the Department of Finance and the Department of Finance shall submit an annual report to the Legislature on the status of projects and their outcomes.
- ii. Annual Expenditure Record:** GC, GGRF, Section 16428.9, requires State agencies that have been appropriated monies from the GGRF to prepare an expenditure record. An expenditure record is prepared for a program, not for individual projects. It provides elements that describe the proposed use of the monies and must be submitted prior to expenditure of those monies for projects. The State ARB shall develop guidance on reporting and quantification methods for all state agencies that receive appropriations from the fund to ensure the requirements of this section are met. Caltrans submits the Expenditure Record to ARB prior to expending any funds (from ARB’s “Interim Guidance to Agencies Administering Greenhouse Gas Reduction Fund Monies: Expenditure Record and Fiscal Procedures”).

**16. Audit Responsibility**

**a. Project Audit (Transportation Development Act)**

Annual audit of public transportation operators required under the Transportation Development Act (TDA), per PUC 99245, **must include verification of receipt and appropriate expenditure of funds**. Project sponsors receiving LCTOP funds in a fiscal year for which a TDA audit is conducted must submit a copy of the audit to Caltrans by **six months after the close of the fiscal year (December 31)**. Caltrans will make the audits available to the Legislature and the SCO. Project sponsors may request a 90-day extension from the December 31 deadline to March 31. They must notify Caltrans in writing via e-mail or a formal letter.

Project sponsors who fail to submit an expanded TDA audit documenting all LCTOP funding allocated to date will not receive future LCTOP allocations until the required document(s) have been submitted to Caltrans.

**b. Spot Audit/On-site Monitoring – conducted by Caltrans**

Spot audits and/or on-site monitoring can take place at any time at the discretion of the Caltrans without prior warning given to the agency. Either a spot audit or monitoring may be conducted on a specific issue or function. Any evidence or information that supports the need for a compliance audit action or monitoring will be pursued by Caltrans. High risk project sponsors are likely to become the subject of an audit or on-site monitoring.

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Agencies or projects will be placed on the high risk list for the following:

- Delinquent with reporting and/or providing documentation as stipulated in the LCTOP guidelines
- Agencies with frequent errors or have not conformed to the requirements of previous awards
- Agencies engaged in multiple reassignments of funds
- Projects with 0 percent progress one year after allocation
- Special situations

Caltrans will select agencies each year and perform an extensive review of all LCTOP related information from that agency. If selected, an agency may be asked to provide additional documents pertinent to the LCTOP program and projects that have been funded. If inconsistencies are found, agencies will be provided an opportunity to correct those errors. If discrepancies are not corrected, the agency will not be eligible to receive future funding.

### 17. Funding Process/Appropriation

Funding for this program shall be provided in Fiscal Year 2015-16 and beyond by a continuous appropriation of 5 percent of the proceeds from the auction of greenhouse gas emission allowances in the Greenhouse Gas Reduction Fund, administered by ARB. The auctions occur four times a year and proceeds are deposited into the Greenhouse Gas Reduction Fund.

The State Controller's Office will list eligible project sponsors and the amount of funds each will receive, per PUC Sections 99313 and 99314, based on a formula from previously allocated State Transit Assistance (STA) funds to local agencies. The allocation is split evenly between funds received based on population and funds received based on revenue generated.

- a. **Reassigned Funds:** Project sponsors may find that they have surplus funds at the completion of an approved LCTOP project, or they may determine that the funded LCTOP project is no longer the highest priority as an eligible fund use. As a result, the project sponsor may apply to reassign funds to a different project. If the project is complete and there are surplus funds, an agency should include the proposed use for the surplus funds as part of the required Final Report. If the use of surplus funds has not yet been determined, Caltrans staff shall treat the project as on-going – not completed – until the agency identifies a project to receive the surplus funds.

If the agency elects to reprioritize eligible projects and redirect approved LCTOP funds, a Corrective Action Plan (CAP) for the original project must be submitted. The CAP must indicate the current approved amount in the "Original" column and the lower revised project cost in the "Revised" column. The CAP must list the amount of surplus funds (and

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any interest if applicable) that will be transferred and the project that will receive the reassigned funds in the “Justification for Change” box.

When reassigning funds to a NEW project:

- A CAP form is needed for the project that is transferring funds to the new project, and a new Allocation Request is needed for the project receiving the funds.
- The Allocation Request for the reassigned funds should be treated the same as an Allocation Request submitted for new funding, and all required documents must be submitted in the same manner.
- The new project must expend the funds within the time limits of the applicable Budget Act.
- The new allocation request has all the authorized signatures of the same agencies as the original project, so that all contributing project sponsors are aware of the new use of their contributed funds.
- The project sponsor may not expend the surplus funds on the new project before receiving a Reassigned Funds Approval Letter from Caltrans authorizing the sponsor to do so.

If reassigning funds to an EXISTING project:

- The project sponsor submits a CAP for the project that will no longer be using LCTOP funds. The funds should be listed in both the Original and Revised columns and the Justification section should list the project that will receive the reassigned funds.
- An additional CAP is to be submitted for the existing project receiving the reassigned funds. This CAP should list the original fund amounts and the revised amounts based on the transfer of funds following the steps listed above.  
If Caltrans staff determines an agency has a pattern/history of reassigning the same funds multiple times, the agency may be placed on the list of high risk project sponsors and could be subject to a Spot Audit (see section 15. b).

Agencies who fail to submit revisions made to the CAP as requested by Caltrans staff and/or are delinquent in other required reports and submittals will not receive additional allocations of LCTOP funds until all delinquent items have been submitted and approved.

- b. **Interest Earned:** Interest on LCTOP funds must be used in the same manner as the principal. Interest earned must only be used for approved LCTOP projects, in the following ways:
- If project costs exceed the amount on the approved allocation request, any interest earned may be applied to the project, if a project sponsor first submits a Corrective Action Plan (CAP) (available on the Caltrans, Division of Rail and Mass Transportation website, or from Caltrans LCTOP staff) and Caltrans approves that CAP before any interest earned is applied to the project.

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- Interest remaining after project closeout must be applied to another approved LCTOP project. Any unused interest not applied to a current project should be applied to the next allocation request submitted, and used prior to, or along with, the allocation of additional funds.
  - The LCTOP staff will inquire about the status of unused interest every 6 months until said interest earned is exhausted.
- c. **Savings:** If the project has been completed with a savings, the report should indicate the amount of savings and how those funds will be applied towards an eligible LCTOP project(s). Any project cost savings not reassigned to a current project, should be applied to the next allocation request submitted, and used prior to, or along with, the allocation of additional funds. The LCTOP staff will inquire about the status of any outstanding cost savings every six months until said savings are exhausted.

### 18. Program Process and Timeline

#### **Budget Act Appropriation of \$25 Million for 2014-15:**

1. By December 1, 2014, the SCO will release the estimate of funding available for each transit operator for 2014-15.
2. Caltrans will release the final program guidelines by December 19, 2014. Eligible recipients may begin submitting project information to Caltrans, in the format proscribed by Caltrans, to confirm eligibility of proposed expenditures. Project proposals will be due by Feb. 1, 2015, to Caltrans' Division of Rail and Mass Transportation.
3. In coordination with ARB, Caltrans shall confirm eligibility of the proposals submitted by the recipient agencies, develop a list of approved expenditures, and notify the eligible recipients of any deficiencies that must be addressed for approval. The list will include project descriptions and any certifications required by the program guidelines, such as timely expenditures of funds. Caltrans and ARB shall finalize a list of approved projects, and submit the list to the SCO by April 1, 2015.
4. Upon Caltrans notification to the SCO of project eligibility, and upon a Caltrans finding, in consultation with DOF, that funds in the Greenhouse Gas Reduction Fund are sufficient to support a full allocation, the SCO will release the approved amount of funds to each approved recipient by April 15, 2015, up to 75 percent of their full allocation. If auction proceeds prior to the Caltrans notification are not sufficient to fund the 75 percent allocation, Caltrans may direct the SCO to reduce the initial allocation. After the fourth auction of the fiscal year occurs, the SCO may release the remainder of funds by June 30, 2015.

5. Due to the Budget Act appropriation, Eligible recipients must receive project approval to encumber funds by June 30, 2015, and request allocation by June 30, 2017.

### **Continuous Appropriation Effective 2015-16:**

1. By July 10 of each fiscal year, or within 10 days of budget enactment, whichever is later, Caltrans will consult with DOF and notify SCO of the estimated amount available to the Program in the fiscal year.
2. By September 1 of that fiscal year, or within 60 days of Caltrans notification, whichever is later, the SCO releases the estimate of funding available for each transit operator for the fiscal year.
3. Upon release of the funding level by SCO, eligible recipients may begin submitting project information to Caltrans, in the format proscribed by Caltrans, to confirm eligibility of proposed expenditures in the fiscal year. All project proposals must be received by November 1, of that fiscal year. In addition to the “baseline plan” that may not exceed the SCO estimate of funding available, eligible recipients may submit a “supplemental plan” that may include additional expenditures up to 20 percent of the SCO estimate of funding. Eligible recipients are encouraged to request allocations in a timely manner to realize public benefit, but may also retain the continuous appropriation allocation across multiple fiscal years to accumulate funding for a larger expenditure. Additionally, an eligible recipient may choose to resolve uncertainty on the level of auction proceeds by postponing submittal of an expenditure plan until all auction for a fiscal year are complete, and then submitting a plan to expend those known funds in the following fiscal year.
4. In coordination with ARB, Caltrans shall confirm eligibility of the proposals submitted by the recipient agencies, and will then develop a list of approved expenditures, and will notify the eligible recipients of any deficiencies that must be addressed for approval. The list will include project descriptions and any certifications required by the program guidelines, such as timely expenditures of funds. Caltrans will submit the final approved list of approved expenditures to SCO by January 15, 2016.
5. Upon Caltrans notification to the SCO of project eligibility, the SCO will release the approved amount of funds available to each recipient from prior auctions by February 15, of that fiscal year. The SCO shall not allocate to any recipient an amount greater than that entity’s share of auction proceeds received to that date. The SCO will release any additional amount of approved funds from subsequent auction by June 30, of that fiscal year.

## Draft Guidelines – GGRF – LCTOP

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### Continuous Appropriation Cycle 2 and Ongoing Adjustments:

In addition to the funds available for the new fiscal year, the SCO shall provide adjustments for any unallocated funds available to an eligible recipient from a prior fiscal year.

DRAFT

**TIMELINE FOR PROCESS – LCTOP fy 14-15 and 15-16**

**2014-15**

SCO releases notification of funding available to transit operators for 2014-15 (shares of the \$25M)	Dec. 1, 2014
Caltrans releases LCTOP interim final guidelines	Dec. 19, 2014
Agencies submit expenditures proposals, due by:	Feb. 1, 2015
Caltrans and ARB concurrently review expenditures and submit approved projects to the SCO. Caltrans prepares expenditure record	April 1, 2015
SCO releases approved amount of funds to recipients	April 15, 2015

**2015-16 and continuous**

Caltrans/DOF notifies SCO of estimated amount available to the Program	July 10 (or within 10 days of budget enactment)
SCO notifies transit operators of available funds for fiscal year	Sept. 1 (or within 60 days of DOF notice)
Transit agencies submit expenditure proposals to Caltrans, due by:	Nov. 1, 2015 (or 60 days after fund notification is released)
Caltrans, in collaboration with ARB, reviews and approves a list of eligible projects and submits list to SCO	Jan. 15
SCO releases approved amount of funds to recipients <i>up to the recipient's share of auction proceeds received to date</i>	Feb. 15

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## NEWS RELEASE

### FOR IMMEDIATE RELEASE

December 3, 2014

**Contact:** Gareth Lacy - (916) 445-3545

Twitter: @ca\_trans\_agency

Blog: www.calstablog.wordpress.com

**Edmund G. Brown Jr.**  
Governor

**Brian P. Kelly**  
Secretary

## Agency and Caltrans Seek Public Input on Intercity Rail and Transit Program Draft Guidelines

*New Cap-and-Trade-Funded Programs Will Help Reduce  
Greenhouse Gas Emissions and Improve Mobility*

SACRAMENTO—In preparation for two upcoming public workshops, the California State Transportation Agency today published draft guidelines for the [Transit and Intercity Rail Capital Program](#), a new grant program for rail and bus capital improvements that integrate state and local rail and other transit systems. This program is funded initially with \$25 million in the 2014-15 state budget, and starting in 2015-16, with 10% of annual auction proceeds going forward.

Earlier this week, Caltrans published draft guidelines for another new grant program, the [Low Carbon Transit Operations Program](#), designed to support new or expanded bus and rail services, especially in disadvantaged communities.

The workshops are an opportunity to discuss the draft guidelines for both these programs and offer comments:

#### **December 10: Southern California**

San Bernardino Associated Governments  
1170 W 3rd Street  
San Bernardino, CA 92410  
9-11 am, Director's Board Room

#### **December 17: Northern California**

California Environmental Protection Agency  
1001 I Street  
Sacramento, CA 95812  
9-11 am, Byron Sher Auditorium

Written comments can also be submitted to [tircpcomments@dot.ca.gov](mailto:tircpcomments@dot.ca.gov) for the Capital Program and to [lctopcomments@dot.ca.gov](mailto:lctopcomments@dot.ca.gov) for the Operations Program.

The 2014-15 State Budget provides \$832 million to the Greenhouse Gas Reduction Fund from Cap-and-Trade auction proceeds to support existing and pilot programs that will reduce greenhouse gas emissions and benefit disadvantaged communities. This expenditure plan will reduce emissions through several programs, including ones modernizing the state's rail system (including both high-speed rail and public transit), encouraging sustainable community development with an emphasis on public transportation and affordable housing, restoring forests in both urban and rural settings, increasing energy, water, and agricultural efficiency and creating

incentives for additional recycling. And under SB 535 (De Leon) at least 25 percent of these funds will be invested for the benefit of California's most disadvantaged communities.

As part of the Transit and Intercity Rail Capital Program, the Transportation Agency will administer \$25 million in funding in 2014-15, via a competitive grant program, to rail and bus transit operators for capital improvements that integrate state and local rail and other transit systems. These will include projects located in disadvantaged communities and those that provide connectivity to the high-speed rail system. In subsequent years, the Capital Program will receive 10% of the Greenhouse Gas Reduction Fund. The draft guidelines for the Transit and Intercity Rail Capital Program are located [here](#).

The Low Carbon Transit Operations Program allocates \$25 million in 2014-15, distributed by the State Transit Assistance Program formula, for local transit agencies to support new or expanded bus and rail services. With an emphasis on disadvantaged communities, approved projects will support new or expanded bus or rail services, or expanded intermodal transit facilities. They may also include equipment acquisition, fueling, and maintenance and other costs to operate those services or facilities, with each project reducing greenhouse gas emissions. In subsequent years, the Capital Program will receive 5% of the Greenhouse Gas Reduction Fund. The draft guidelines for the Low Carbon Transit Operations Program are located [here](#).

*The California State Transportation Agency, which launched July 1, 2013, is responsible for transportation-related departments within the state: Board of Pilot Commissioners, California Highway Patrol, California Transportation Commission, Department of Transportation, Department of Motor Vehicles, High-Speed Rail Authority, New Motor Vehicle Board and Office of Traffic Safety. The Agency was formed as part of Governor Brown's Government Reorganization Plan, which became law in 2012. For more information, visit [www.calsta.ca.gov](http://www.calsta.ca.gov).*

###



**JOHN CHIANG**  
*California State Controller*  
Division of Accounting and Reporting

November 26, 2014

COUNTY AUDITORS  
TRANSPORTATION PLANNING AGENCIES  
COUNTY TRANSPORTATION COMMISSIONS  
SAN DIEGO METROPOLITAN TRANSIT SYSTEM

Re: Low Carbon Transit Operations Program

Pursuant to Health and Safety Code section 39719, the Controller shall allocate funds from the Greenhouse Gas Reduction Fund according to the requirements of the Low Carbon Transit Operations Program and pursuant to the distribution formula in sections 99312 (b) (c), 99313, and 99314 of the Public Utilities Code. Attached is a schedule that provides the estimated amounts available from the \$25 million appropriation for the 2014-15 fiscal year detailed in the 2014 Budget Act.

Any questions you have regarding this program should be directed to John Bodolay of the Division of Accounting and Reporting at (916) 323-2154 or [jbodolay@sco.ca.gov](mailto:jbodolay@sco.ca.gov).

Sincerely,

A handwritten signature in cursive script that reads "Jim Reisinger".

JIM REISINGER, Manager  
Local Apportionments Section

Enclosures

**STATE CONTROLLER'S OFFICE  
LOW CARBON TRANSIT OPERATIONS PROGRAM  
ELIGIBLE ALLOCATION FISCAL YEAR 2014-2015 SUMMARY**

Regional Entity	Eligible Allocation Based on PUC 99313 Allocation*	Eligible Allocation Based on PUC 99314 Allocation**	2014-2015 Eligible Allocation
Tahoe Regional Planning Agency	\$ 32,171	\$ 1,957	\$ 34,128
Metropolitan Transportation Commission Sacramento Area Council of Governments	2,417,898	6,757,934	9,175,832
Alpine	596,357	287,115	883,472
Amador	358	21	379
Butte	11,780	637	12,417
Calaveras	72,440	4,631	77,071
Colusa	14,549	0	14,549
Del Norte	7,058	380	7,438
El Dorado	9,166	676	9,842
Fresno	51,832	5,692	57,524
Glenn	314,125	41,848	355,973
Humboldt	9,239	0	9,239
Imperial	43,874	7,549	51,423
Inyo	58,871	2,695	61,566
Kern	6,057	0	6,057
Kings	284,490	25,780	310,270
Lake	48,935	2,546	51,481
Lassen	21,082	2,027	23,109
Los Angeles	10,616	752	11,368
Madera	3,272,042	3,868,191	7,140,233
Mariposa	50,146	0	50,146
Mendocino	6,017	34	6,051
Merced	29,009	2,133	31,142
Modoc	86,323	4,610	90,933
Mono	2,997	0	2,997
Monterey	4,608	6,932	11,540
Nevada	138,729	24,140	162,869
Orange	31,680	1,153	32,833
Placer	1,014,670	331,866	1,346,536
Plumas	94,727	15,362	110,089
Riverside	6,237	0	6,237
San Benito	742,910	118,945	861,855
San Bernardino	18,741	0	18,741
San Diego Association of Governments	679,599	156,732	836,331
San Diego Metropolitan Transit System	258,757	127,115	385,872
San Joaquin	782,101	422,040	1,204,141
Santa Barbara	231,586	50,712	282,298
Santa Cruz	88,745	8,603	97,348
Shasta	141,219	50,216	191,435
Sierra	88,497	94,197	182,694
Siskiyou	58,460	4,197	62,657
Stanislaus	1,007	0	1,007
Tehama	14,738	1,128	15,866
Trinity	171,407	12,501	183,908
Tulare	20,762	0	20,762
Tuolumne	4,363	255	4,618
Ventura	149,707	17,310	167,017
State Totals	17,466	0	17,466
State Controller's Office Administration Cost	274,674	32,211	306,885
Total Appropriation	\$ 12,492,822	\$ 12,492,823	\$ 24,985,645
			14,355
			\$ 25,000,000

\*PUC 99313 allocations are based on the population figures from the Department of Finance, *E-1 Population Estimates for Cities, Counties, and the State, January 1, 2014*

\*\*PUC 99314 allocations are based on the data received by the State Controller's Office used for the Transit Operators & Non-Transit Claimants Annual Report for FY 2012-2013

**STATE CONTROLLER'S OFFICE  
LOW CARBON TRANSIT OPERATIONS PROGRAM  
FISCAL YEAR 2014-15 PUC 99314 ALLOCATION DETAIL**

Regional Entity and Operator(s)	Revenue Basis Based on PUC 99314 Allocation	Eligible Allocation Based on PUC 99314 Allocation
Tahoe Regional Planning Agency		
Tahoe Transportation District	\$ 561,142	\$ 1,957
Metropolitan Transportation Commission		
Alameda-Contra Costa Transit District	*	**
Alameda County Congestion Management		
Agency - Corresponding to Altamont Commuter Express	NA	14,627
Central Contra Costa Transit Authority	11,610,876	40,496
City of Dixon	92,155	321
Eastern Contra Costa Transit Authority	5,322,324	18,563
City of Fairfield	2,085,299	7,273
Golden Gate Bridge Highway and Transportation District	87,936,069	306,703
City of Healdsburg	13,060	46
Livermore-Amador Valley Transit Authority	4,944,645	17,246
Napa County Transportation and Planning Agency	874,071	3,049
Peninsula Corridor Joint Powers Board	103,088,130	359,551
City of Petaluma	494,991	1,726
City of Rio Vista	53,782	188
City of San Francisco	*	**
San Francisco Bay Area Rapid Transit District	*	**
San Francisco Bay Area Water Emergency Transportation Authority (WETA)	23,812,955	83,055
San Mateo County Transit District	75,203,878	262,296
Santa Clara Valley Transportation Authority	230,090,105	802,508
Santa Clara Valley Transportation Authority - Corresponding to Altamont Commuter Express	NA	16,525
City of Santa Rosa	2,626,763	9,162
Solano County Transit (SOLTRANS)	5,438,438	18,968
County of Sonoma	3,032,974	10,578
City of Union City	846,673	2,953
Western Contra Costa Transit Authority	5,964,535	20,803
Regional Entity Totals	1,928,661,169	6,757,934
Sacramento Area Council of Governments		
City of Davis	2,640,606	9,210
City of Elk Grove	2,066,619	7,208
City of Folsom	409,697	1,429
Sacramento Regional Transit System	72,039,741	251,260
Yolo County Transportation District	3,767,731	13,141
Yuba Sutter Transit Authority	1,395,546	4,867
Regional Entity Totals	82,319,940	287,115

(Continued)

\* The combined revenue basis for Alameda-Contra Costa Transit District, San Francisco Bay Area Rapid Transit District, and the City of San Francisco is \$1,365,129,446.

\*\* The combined eligible allocation for Alameda-Contra Costa Transit District, San Francisco Bay Area Rapid Transit District, and the City of San Francisco is \$4,761,297.

**STATE CONTROLLER'S OFFICE  
LOW CARBON TRANSIT OPERATIONS PROGRAM  
FISCAL YEAR 2014-15 PUC 99314 ALLOCATION DETAIL**

<u>Regional Entity and Operator(s)</u>	<u>Revenue Basis Based on PUC 99314 Allocation</u>	<u>Eligible Allocation Based on PUC 99314 Allocation</u>
Alpine		
County of Alpine	5,942	21
Amador		
Amador Regional Transit System	182,696	637
Butte		
Butte County Association of Governments	1,327,731	4,631
Calaveras	None	None
Colusa		
County of Colusa	109,075	380
Del Norte		
Redwood Coast Transit Authority	193,821	676
El Dorado		
El Dorado County Transit Authority	1,632,095	5,692
Fresno		
City of Clovis	816,066	2,846
City of Fresno	9,847,676	34,347
Fresno County Rural Transit Agency	1,334,748	4,655
Regional Entity Totals	11,998,490	41,848
Glenn	None	None
Humboldt		
City of Arcata	203,966	711
City of Eureka	609,283	2,125
City of Fortuna	12,787	45
Humboldt Transit Authority	1,338,508	4,668
Regional Entity Totals	2,164,544	7,549
Imperial		
City of Imperial	121,200	423
Imperial County Transportation Commission (ICTC)	566,309	1,975
Imperial County Transportation Commission (ICTC)-Specialized Service	85,223	297
Regional Entity Totals	772,732	2,695
Inyo	None	None
Kern		
City of Arvin	71,525	249
City of California City	24,950	87
City of Delano	89,085	311
Golden Empire Transit District	5,508,311	19,212
County of Kern	946,668	3,302
City of Ridgecrest	346,511	1,209
City of Shafter	26,932	94
City of Taft	348,109	1,214
City of Tehachapi	4,302	15
City of Wasco	24,931	87
Regional Entity Totals	7,391,324	25,780

(Continued)

**STATE CONTROLLER'S OFFICE  
LOW CARBON TRANSIT OPERATIONS PROGRAM  
FISCAL YEAR 2014-15 PUC 99314 ALLOCATION DETAIL**

<u>Regional Entity and Operator(s)</u>	<u>Revenue Basis Based on PUC 99314 Allocation</u>	<u>Eligible Allocation Based on PUC 99314 Allocation</u>
<b>Kings</b>		
City of Corcoran	72,611	253
Kings County Area Public Transit Agency	657,362	2,293
Regional Entity Totals	729,973	2,546
<b>Lake</b>		
Lake Transit Authority	581,061	2,027
<b>Lassen</b>		
County of Lassen	215,557	752
<b>Los Angeles</b>		
Antelope Valley Transit Authority	11,665,639	40,687
City of Arcadia	1,540,822	5,374
City of Claremont	656,856	2,291
City of Commerce	1,663,128	5,801
City of Culver City	9,899,949	34,529
Foothill Transit Zone	48,143,138	167,914
City of Gardena	11,181,537	38,999
City of La Mirada	854,020	2,979
Long Beach Public Transportation Company	46,810,848	163,267
City of Los Angeles	61,633,091	214,964
Los Angeles County Metropolitan Transportation Authority	746,529,943	2,603,742
City of Montebello	16,261,520	56,717
City of Norwalk	1,462,292	5,100
City of Redondo Beach	1,884,288	6,572
City of Redondo Beach - Specialized Service	449,714	1,569
City of Santa Monica	37,580,886	131,075
Southern California Regional Rail Authority	191,063,915	
Los Angeles County Metropolitan Transportation Authority		347,055
Orange County Transportation Authority		***
Riverside County Transportation Commission		***
San Bernardino Associated Governments		***
Ventura County Transportation Commission		***
City of Torrance	11,341,362	39,556
Regional Entity Totals	1,200,622,948	3,868,191
<b>Madera</b>		
	None	None
<b>Mariposa</b>		
County of Mariposa	9,660	34

(Continued)

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\*\*\* The amounts allocated to the member agencies of Southern California Regional Rail Authority are paid by their corresponding regional transportation authority.

**STATE CONTROLLER'S OFFICE  
LOW CARBON TRANSIT OPERATIONS PROGRAM  
FISCAL YEAR 2014-15 PUC 99314 ALLOCATION DETAIL**

<u>Regional Entity and Operator(s)</u>	<u>Revenue Basis Based on PUC 99314 Allocation</u>	<u>Eligible Allocation Based on PUC 99314 Allocation</u>
Mendocino		
Mendocino Transit Authority	611,565	2,133
Merced		
Transit Joint Powers Authority of Merced County	842,727	2,939
Transit Joint Powers Authority of Merced County - Specialized Service	478,990	1,671
Regional Entity Totals	<u>1,321,717</u>	<u>4,610</u>
Modoc	None	None
Mono		
Eastern Sierra Transit Authority	1,987,402	6,932
Monterey		
Monterey-Salinas Transit	6,921,260	24,140
Nevada		
County of Nevada	330,559	1,153
Orange		
City of Laguna Beach	641,834	2,239
Orange County Transportation Authority	48,716,528	169,913
Orange County Transportation Authority - Corresponding to Southern California Regional Rail Authority	NA	159,714
Regional Entity Totals	<u>49,358,362</u>	<u>331,866</u>
Placer		
City of Auburn	28,803	100
City of Lincoln	50,853	177
County of Placer	3,352,565	11,693
City of Roseville	972,666	3,392
Regional Entity Totals	<u>4,404,887</u>	<u>15,362</u>
Plumas	None	None
Riverside		
City of Banning	159,048	555
City of Beaumont	190,808	665
City of Corona	437,549	1,526
Palo Verde Valley Transit Agency	92,684	323
City of Riverside	344,258	1,201
Riverside County Transportation Commission - Corresponding to Southern California Regional Rail Authority	NA	47,307
Riverside Transit Agency	15,923,997	55,540
Sunline Transit Agency	3,391,222	11,828
Regional Entity Totals	<u>20,539,566</u>	<u>118,945</u>
San Benito	None	None

(Continued)

**STATE CONTROLLER'S OFFICE  
LOW CARBON TRANSIT OPERATIONS PROGRAM  
FISCAL YEAR 2014-15 PUC 99314 ALLOCATION DETAIL**

<u>Regional Entity and Operator(s)</u>	<u>Revenue Basis Based on PUC 99314 Allocation</u>	<u>Eligible Allocation Based on PUC 99314 Allocation</u>
<b>San Bernardino</b>		
Morongo Basin Transit Authority	383,567	1,338
Mountain Area Regional Transit Authority	314,850	1,098
Omnitrans	15,731,331	54,868
San Bernardino Associated Governments - Corresponding to Southern California Regional Rail Authority	NA	91,950
Victor Valley Transit Service Authority	2,144,080	7,478
Regional Entity Totals	18,573,828	156,732
<b>San Diego Association of Governments</b>		
North San Diego County Transit District	36,445,566	127,115
<b>San Diego Metropolitan Transit System</b>		
	121,004,896	422,040
<b>San Joaquin</b>		
Altamont Commuter Express Authority	12,624,012	
Alameda County Congestion Management Agency		****
Santa Clara Valley Transportation Authority		****
San Joaquin Regional Rail Commission		12,878
City of Lodi	647,703	2,259
City of Ripon	1,123	4
San Joaquin Regional Transit District	10,198,634	35,571
Regional Entity Totals	23,471,472	50,712
<b>San Luis Obispo</b>		
City of Atascadero	90,487	316
City of Morro Bay	42,314	148
City of Paso Robles Transit	173,765	606
City of San Luis Obispo	654,943	2,284
San Luis Obispo Regional Transit Authority	1,375,807	4,799
South County Area Transit	128,879	450
Regional Entity Totals	2,466,195	8,603
<b>Santa Barbara</b>		
City of Guadalupe	95,229	332
City of Lompoc	912,645	3,183
County of Santa Barbara	148,092	517
Santa Barbara Metropolitan Transit District	11,775,276	41,070
City of Santa Maria	1,385,038	4,831
City of Solvang	81,184	283
Regional Entity Totals	14,397,464	50,216
<b>Santa Cruz</b>		
Santa Cruz Metropolitan Transit District	27,007,509	94,197
<b>Shasta</b>		
Redding Area Bus Authority	1,203,457	4,197

(Continued)

\*\*\*\*\* The amounts allocated to the member agencies of Altamont Commuter Express Authority are paid by their corresponding regional transportation authority.

**STATE CONTROLLER'S OFFICE  
 LOW CARBON TRANSIT OPERATIONS PROGRAM  
 FISCAL YEAR 2014-15 PUC 99314 ALLOCATION DETAIL**

<u>Regional Entity and Operator(s)</u>	<u>Revenue Basis Based on PUC 99314 Allocation</u>	<u>Eligible Allocation Based on PUC 99314 Allocation</u>
Sierra	None	None
Siskiyou		
County of Siskiyou	323,277	1,128
Stanislaus		
City of Modesto	2,936,100	10,241
County of Stanislaus	496,528	1,732
City of Turlock	151,293	528
Regional Entity Totals	3,583,921	12,501
Tehama	None	None
Trinity		
County of Trinity	73,045	255
Tulare		
City of Exeter	22,565	79
City of Porterville	486,529	1,697
City of Tulare	413,278	1,441
County of Tulare	516,878	1,803
City of Visalia	3,523,677	12,290
Regional Entity Totals	4,962,927	17,310
Tuolumne	None	None
Ventura		
Gold Coast Transit	3,395,722	11,844
Ventura County Transportation Commission - Corresponding to Southern California Regional Rail Authority	NA	20,367
Regional Entity Totals	3,395,722	32,211
 STATE TOTALS	\$ 3,581,864,497	\$ 12,492,823

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DATE : December 8, 2014  
 TO: SolanoExpress Intercity Transit Consortium  
 FROM: Liz Niedziela, Transit Program Manager  
 RE: Lifeline Transportation Program- Cycle 4

**Background**

Metropolitan Transportation Commission’s (MTC) Lifeline Transportation Program funds projects that improve mobility for the region’s low-income communities. The program is administered by the nine county congestion management agencies (CMAs), and in Santa Clara County via a joint arrangement between the CMA and the County. For Solano County, the Lifeline Program is administered by Solano Transportation Authority (STA). STA Board approved in May 2012 Solano County Lifeline Funding for Cycle 3 as shown in Attachment A.

In October 2014, MTC adopted Resolution No. 4159, which set forth guidelines for Cycle 4 of the Lifeline Transportation Program (Attachment B). The target programming amount for Cycle 4 is \$65 million, which includes three years of funding (FY2014-FY2016). The funding sources include approximately \$31 million in State Transit Assistance (STA) funds, \$25 million in Proposition 1B – Transit funds, and \$9 million in Section 5307 Job Access and Reverse Commute (JARC) funds.

**Discussion:**

On October 28, STA staff emailed a Call for Projects for the Lifeline Transportation Program – Cycle 4 to the Consortium. The funding sources for Solano County include approximately \$1,973,907 in State Transit Assistance (STA) funds, \$899,217 in Proposition 1B – Transit funds, and \$1,111,109 in Section 5307 Job Access and Reverse Commute (JARC) funds as shown below:

	Carryover	2014	2015	2016	Total
STAF		\$ 668,858	\$ 674,934	\$ 630,115	\$ 1,973,907
JARC	\$ 273,831	\$ 277,612	\$ 277,612	\$ 282,054	\$ 1,111,109
Prop 1B			\$ 899,217		\$ 899,217
<b>Total</b>		<b>\$ 946,470</b>	<b>\$ 1,851,763</b>	<b>\$ 912,169</b>	<b>\$ 3,710,402</b>

**Program requirements**

Details about Cycle 4, including general program requirements, detailed eligibility information by fund source, and a timeline, are available in the Lifeline Transportation Program Cycle 4 Guidelines (MTC Resolution No. 4159) (Attachment B).

**Proposition 1B Transit**

In most cases, Proposition 1B Transit funds will be allocated directly to transit operators by MTC, due to the limited eligibility and uses of this fund source. Upon concurrence from the applicable CMA-- which can be provided via a CMA board resolution or a letter from an authorized CMA representative--transit operators may program funds to any capital project that is consistent with the Lifeline Transportation Program and goals, and is eligible for this fund source. Transit operators are required to submit their draft Prop 1B project lists to County Lifeline Program Administrators (**Solano**

**Transportation Authority – Attention: Liz) By January 15, 2015**, so that the STA Board can review and concur with the projects. STA is requesting a brief description of the project, project cost, and how the project is consistent with Lifeline goals.

Project Selection

**STA and 5307 (JARC):** Under the Cycle 4 program guidelines, for the STAF and 5307 (JARC) funds, 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. Standard evaluation criteria are included as Appendix B to the Cycle 4 guidelines. STA and Section 5307 (JARC) 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 (JARC) 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.

Please see below for JARC funding by operator.

JARC by Operator	Carryover	2014	2015	2016	Total
FAST	\$ 94,651	\$ 95,958	\$ 95,958	\$ 97,493	\$ 384,060
SolTrans	\$ 138,107	\$ 140,014	\$ 140,014	\$ 142,254	\$ 560,389
Vacaville	\$ 41,073	\$ 41,640	\$ 41,640	\$ 42,306	\$ 166,659
	<u>\$ 273,831</u>	<u>\$ 277,612</u>	<u>\$ 277,612</u>	<u>\$ 282,053</u>	<u>\$ 1,111,108</u>

**Additional tools**

Attached are some additional tools that you may find useful during the application process:

- The Cycle 4 Universal Application Form (Attachment C)
- An excerpt from the FTA Section 5307 Circular (FTA C 9030.1E) with the detailed JARC eligibility requirements (Attachment D)
- A Local Support Resolution template (Attachment E)
- The Standard Evaluation Criteria (Res. 4159 Appendix 2) in MS Word format (Attachment F)
- Supplemental Instructions to help applicants respond to Question #C2, the Civil Rights Demographic question (Attachment G)

Prop 1 B application (brief summary is due January 15) to STA. **JARC and STAF applications are due to STA by March 3, 2015.**

STA staff would like to open this item for discussion to talk about the Lifeline potential project per transit operator.

**Fiscal Impact:**

There is no fiscal impact for STA. This program provided an opportunity to implement Lifeline projects in Solano County in the amount of \$3,710,402 over three years period.

**Recommendation:**

Informational.

## Attachments

- A. STA Board approved Projects for Solano County Lifeline Funding for Cycle 3
- B. Lifeline Transportation Program Cycle 4 Guidelines (MTC Resolution No. 4159)
- C. The Cycle 4 Universal Application Form
- D. An excerpt from the FTA Section 5307 Circular (FTA C 9030.1E) with the detailed JARC eligibility requirements
- E. A Local Support Resolution template
- F. The Standard Evaluation Criteria (Res. 4159 Appendix 2) in MS Word format
- G. Supplemental Instructions to help applicants respond to Question #C2, the Civil Rights Demographic question

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<b>Solano County Approved Lifeline Funds Cycle 3</b>					<b>FY 2012-2013</b>	<b>FY 2013-14</b>	
Rank	Funding Source	Agency	Project	Project Description	First Year	Second Year	Total
1	STAF	SolTrans	Sustaining Route 1	Route 1 serves a large low income population centered around downtown Vallejo and the north/south corridor along Sonoma Blvd. Route 1 includes Vallejo Middle and Senior High schools, three key shopping centers and Curtola Park and Ride. This funding would aid in retaining service.	\$250,000	\$250,000	\$500,000
2	STAF	SolTrans	Sustaining Route 85	Route 85 provides local service within the City of Vallejo on a low income corridor. This intercity route provides critical transportation between Vallejo and Fairfield to reach employment, medical services and Solano Community College. This funding will be aid in sustaining service.	\$125,000	\$125,000	\$250,000
3	STAF	FAST	Saturday Service Route 30	Route 30 service on Saturday provide connection between Fairfield, Vacaville, Dixon, and the UC Davis. In Dixon's CBTP, lack of Saturday Service was one of the major transportation gaps.	\$60,000	\$60,000	\$120,000
4	STAF	SolTrans	Sustaining Span of Service	To meet ongoing budget pressures and to attain a sustainable service, service is proposed to start later in the morning and end earlier in the evening. This funding would aid in retaining the current span of service.	\$181,865	\$194,755	\$376,620
<b>Total Award</b>					<b>\$616,865</b>	<b>\$629,755</b>	<b>\$1,246,620</b>

Rank		Agency	Project	Project Description	Funding
1	STP	Vacaville City Coach	Accessible Paths to Transit	The Vacaville CBTP documented the need for more accessible curb ramps and/or access improvements near transit routes. This funding will aid in constructing approximately 16 curb ramps.	\$40,000
2	STP	FAST	Local Bus Replacement	Purchase four (4) 40-foot replacement buses for local route.	\$481,368
<b>Total Award</b>					<b>\$521,368</b>

Rank		Agency	Project	Project Description	Funding
1	Prop 1B	SolTrans	Intercity Bus Replacement Swap	SolTrans will be replacing three (3) intercity diesel buses with hybrid diesel electric fuel buses. These buses will be 45 ft with 57 passenger capacity and wheel chair accessible.	\$1,000,000

2	Prop 1B	FAST	Local Bus Replacement	Fairfield and Suisun Transit (FAST) will be replacing six (6) local diesel buses with hybrid diesel electric fuel buses. These buses will be 40 ft with 43 passenger capacity and wheel chair accessible.	\$547,328
			<b>Total Award</b>		<b>\$1,547,328</b>

Date: October 22, 2014  
W.I.: 1310  
Referred by: PAC

Attachment A  
MTC Resolution No. 4159  
Page 1 of 19



METROPOLITAN  
TRANSPORTATION  
COMMISSION

## **Lifeline Transportation Program Cycle 4 Guidelines**

October 2014

**METROPOLITAN TRANSPORTATION COMMISSION  
LIFELINE TRANSPORTATION PROGRAM CYCLE 4 GUIDELINES  
FY 2014 THROUGH FY 2016**

October 2014

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Appendix 1. Funding Source Information

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**METROPOLITAN TRANSPORTATION COMMISSION  
LIFELINE TRANSPORTATION PROGRAM CYCLE 4 GUIDELINES  
FY 2014 THROUGH FY 2016**

October 2014

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 includes broad partnerships among a variety of stakeholders such as public agencies, transit operators, community-based organizations and other community stakeholders, and outreach to underrepresented stakeholders.
- Improve a range of transportation choices by adding a variety of new or expanded services including but not limited to: enhanced fixed route transit services, shuttles, taxi voucher programs, improved access to autos, and capital improvement 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. While preference will be given to community-based plan priorities, strategies emerging from countywide or regional welfare-to-work transportation plans, the Coordinated Public Transit-Human Services Transportation Plan or other documented assessment of need within the designated communities of concern will also be considered. 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 communities of concern (CoC) mapping tool showing both CoCs adopted with Plan Bay Area as well as the most recent socioeconomic data available from the Census Bureau is available at:  
[http://gis.mtc.ca.gov/samples/Interactive\\_Maps/cocs.html](http://gis.mtc.ca.gov/samples/Interactive_Maps/cocs.html).<sup>1</sup>

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<sup>1</sup> There is a user's guide available to aid in the use of this tool.

2. **PROGRAM ADMINISTRATION.** The Lifeline Program will be administered by county congestion management agencies (CMAs) or other designated county-wide agencies as follows:

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

3. **FUNDING APPORTIONMENT AND AVAILABILITY.** Fund sources for the Cycle 4 Lifeline Transportation Program include State Transit Assistance (STA), Proposition 1B - Transit, and Section 5307 Job Access and Reverse Commute (JARC)<sup>2</sup> funds. Cycle 4 will cover a three-year programming cycle, FY2013-14 to FY2015-16.
- a. **STA and Section 5307 (JARC).** Funding for STA and Section 5307 (JARC) will be assigned to counties by each fund source, based on the county's share of the regional low-income population (see Figure 1).<sup>3</sup> Lifeline Program Administrators will assign funds to eligible projects in their counties. See Section 5 for details about the STA and Section 5307 (JARC) programming process and Appendix 1 for detailed eligibility requirements by fund source.

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<sup>2</sup> The Moving Ahead for Progress in the 21<sup>st</sup> Century (MAP-21) federal transportation authorizing legislation eliminated the Job Access and Reverse Commute (JARC) program (Section 5316) and combined JARC functions and funding with the Urbanized Area Formula (Section 5307) and the Non-urbanized Area Formula (Section 5311) programs. JARC projects were made eligible for 5307 funding, and, consistent with MTC's Transit Capital Priorities (TCP) Process and Criteria (MTC Resolution Nos. 4072 and 4140), in the FY2013-14, FY2014-15 and FY2015-16 Section 5307 programs, a portion of the Bay Area's large urbanized area funds have been set aside for the Lifeline program.

<sup>3</sup> FTA Section 5307 funds are apportioned by urbanized area (UA), so the distribution of 5307 funds will also need to take UA boundaries into consideration.

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

<i>County</i>	<i>Share of Regional Low Income (&lt;200% Poverty) Population</i>
Alameda	22.6%
Contra Costa	14.3%
Marin	2.6%
Napa	2.0%
San Francisco	12.5%
San Mateo	8.4%
Santa Clara	23.1%
Solano	6.4%
Sonoma	7.9%
Total	100%

Source: ACS 2010 and 2012 1-Year Estimates

- b. Proposition 1B. Proposition 1B funding will be assigned by MTC directly to transit operators and counties based on a formula that distributes half of the funds according to the transit operators’ share of the regional low-income ridership, and half of the funds according to the transit operators’ share of the regional low-income population. The formula distribution is shown in Figure 2. See Section 6 for details about the Proposition 1B programming process and Appendix 1 for detailed eligibility requirements by fund source.

**Figure 2. Transit Operator & Hybrid Formula  
(Share of Regional Low Income Ridership & Share of Regional Low Income Population)**

<i>Transit Operator</i>	<i>Hybrid Formula Share</i>
AC Transit	17.3%
BART	18.5%
County Connection (CCCTA)	1.0%
Golden Gate Transit/Marin Transit	3.2%
Wheels (LAVTA)	0.5%
Muni (SFMTA)	24.9%
SamTrans	5.0%
Tri Delta Transit (ECCTA)	0.7%
VINE (NCTPA)	1.2%
VTA	19.5%
WestCat (WCCTA)	0.3%
Solano County Operators	3.6%
Sonoma County Operators	4.2%
Total	100%

Note: Only transit operators who have previously received Proposition 1B Lifeline funds are included in the formula distribution

- c. Regional Means-Based Transit Fare Program. MTC will set aside up to \$700,000 in Cycle 4 STA funds toward the potential development and implementation of a regional

means-based transit fare program. In Lifeline Cycle 3, MTC set aside \$300,000 for Phase I of this project. In Phase I, MTC is conducting a study to develop the regional concept, including identifying who would be eligible, costs, funding, relationship to other discounts, and other policy elements. Depending on the results of the Phase I study, funds from the Cycle 4 \$700,000 set-aside may be used for Phase II implementation activities.

- d. 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 4. 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 a project eligible to use.

- b. Section 5307 (JARC). Transit operators that are FTA grantees are the only eligible recipients of Section 5307 (JARC) funds.

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

Section 5307 (JARC) recipients/subrecipients will be required to have a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number and provide it during the application process.<sup>4</sup> A DUNS number may be obtained from D&B by telephone (866-705-5711) or the Internet (<http://fedgov.dnb.com/webform>).

- c. Proposition 1B. Transit operators are the only eligible recipients of Proposition 1B funds.

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<sup>4</sup> A Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number is a unique, non-indicative 9-digit identifier issued and maintained by D&B that verifies the existence of a business entity. The DUNS number is a universal identifier required for Federal financial assistance applicants, as well as recipients and their direct subrecipients.

5. STA AND SECTION 5307 PROGRAMMING PROCESS. For STA and 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. Unlike previous cycles of the Lifeline Transportation Program, the funds in the Cycle 4 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.

- a. Competitive Process. STA and Section 5307 (JARC) 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 (JARC) 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.
6. PROPOSITION 1B PROGRAMMING PROCESS. In most cases, Proposition 1B Transit funds will be allocated directly to transit operators by MTC, due to the limited eligibility and uses of this fund source. Upon concurrence from the applicable CMA,<sup>5</sup> transit operators may program funds to any capital project that is consistent with the Lifeline Transportation Program and goals, and is eligible for this fund source. Transit operators are encouraged to consider needs throughout their service area. Projects must be identified as Lifeline projects before transit operators can claim funds, and, at the discretion of the Lifeline Program Administrators, may be subject to Lifeline Transportation Program reporting requirements. For Marin, Solano and Sonoma counties, Proposition 1B funds are being directed to the CMA, who should include these funds in the overall Lifeline programming effort (keeping in mind the limited sponsor and project eligibility of Proposition 1B funds).

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<sup>5</sup> CMA concurrence may be provided via a board resolution or a letter from an authorized representative.

## 7. 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. Section 5307 restrictions
  - (1) Job Access and Reverse Commute requirement. For the Lifeline Transportation Program, the use of Section 5307 funds is restricted solely to Job Access and Reverse Commute (JARC) projects. For details regarding eligible JARC projects, see the FTA Section 5307 Circular (FTA C 9030.1E), Chapter IV, Section 5 available at [http://www.fta.dot.gov/documents/FINAL\\_FTA\\_circular9030.1E.pdf](http://www.fta.dot.gov/documents/FINAL_FTA_circular9030.1E.pdf). Also see Appendix 1 for detailed eligibility requirements by fund source
  - (2) New and existing services. Consistent with FTA’s 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 MAP-21 became effective October 1, 2012. 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.

8. 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 (JARC) 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* JARC 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 Section 5307 JARC 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.

9. COORDINATED PLANNING. Under MAP-21, projects funded with Section 5307 JARC funds are no longer required by FTA to be derived from a locally developed, coordinated public transit-human services transportation plan (“Coordinated Plan”); however, in the Bay Area’s Coordinated Plan, MTC continues to identify the transportation needs of individuals with disabilities, older adults, *and* people with low incomes, and to provide strategies for meeting those local needs. Therefore, projects funded with Lifeline Transportation Program funds should be consistent with the transportation needs, proposed solutions, and enhanced coordination strategies presented in the Coordinated Plan to the extent practicable considering any other funding source restrictions.

The Bay Area’s Coordinated Plan was updated in March 2013 and is available at <http://www.mtc.ca.gov/planning/pths/>.

Mobility management was a key coordination strategy recommended in the 2013 plan update. The designation of lead mobility managers or Consolidated Transportation Service Agencies (CTSAs) at the County or subregional level was 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 subregional Mobility Managers or CTSAs.

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

10. 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.)

#### 11. 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.

12. COUNTYWIDE PROGRAM OF PROJECTS. A full program of projects is due to MTC from each Lifeline Program Administrator on **March 13, 2015**. However, given state and federal funding uncertainties, sponsors with projects selected for FY2015 and FY2016 Section 5307 (JARC) funds and FY2016 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 FY2014 and FY2015 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 FY2015 Section 5307 (JARC) funds and the FY2016 STA and Section 5307 (JARC) funds in calendar year 2015.

13. POLICY BOARD ADOPTION

- a. Project sponsor resolution of local support. Prior to MTC's programming of Lifeline Cycle 4 funds (STA, Section 5307 JARC and/or Proposition 1B) 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.

Caltrans requires that Proposition 1B - Transit projects either be consistent with the project sponsor's most recent short-range transit plan (SRTP), as evidenced by attaching the relevant SRTP page to the allocation request, or be accompanied by a certified Board Resolution from the project sponsor's governing board.

b. Lifeline Program Administrator/CMA Board Resolution and Concurrence

- (1) STA and Section 5307 (JARC). Projects recommended for STA and Section 5307 (JARC) funding must be submitted to and approved by the respective governing board of the Lifeline Program Administrator.
- (2) Proposition 1B. Projects funded with Proposition 1B Transit funds must have concurrence from the applicable Lifeline Program Administrator/CMA. Concurrence may be provided by a board resolution or by a letter from an authorized representative.

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

- a. Section 5307 (JARC). Project sponsors must expend the Lifeline Transportation Program Section 5307 (JARC) 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 (JARC) 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:
  - June 30, 2015 for FY2014 and FY2015 funds (the deadline to submit grants for FY15 funds may be extended depending on the availability of FY15 apportionments.)
  - June 30, 2016 for FY2016 funds

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.
  - c. Proposition 1B. Project sponsors must expend the Lifeline Transportation Program Proposition 1B funds within three years of the date that funds are available. Disbursement timing depends on the timing of State bond sales.
15. PROJECT OVERSIGHT. For Lifeline projects funded by STA and Section 5307 (JARC), 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.

For projects funded by Proposition 1B, the Lifeline Program Administrators are encouraged to continue coordination efforts with the project sponsors if they determine that it would be beneficial toward meeting the Lifeline goals; however, this may not be necessary or beneficial for all Proposition 1B projects.

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

16. 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.

## 17. FUND ADMINISTRATION

- a. Section 5307 (JARC). MTC will enter all Lifeline Section 5307 (JARC) projects into the Transportation Improvement Program (TIP). Transit operators that are FTA grantees are the only eligible recipients of Section 5307 (JARC) funds. FTA grantees will act as direct recipients, and will submit grant applications directly to FTA.

For Section 5307 (JARC) projects 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 subrecipient project sponsor.

FTA recipients are responsible for following all applicable federal requirements and for ensuring that their subrecipients 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.
- c. Proposition 1B Transit. Project sponsors receiving Proposition 1B funds must submit a Proposition 1B allocation request to MTC for submittal to Caltrans with prior review by MTC. The state will distribute funds directly to the project sponsor. Note that although the Proposition 1B Transit Program is intended to be an advance-payment program, actual disbursement of funds is dependent on the State budget and State bond sales. Project sponsors are responsible for entering their own Proposition 1B projects into the TIP.

## 18. COMPLIANCE WITH FEDERAL REQUIREMENTS

- a. Lifeline Program Administrator Responsibilities. For the selection of FTA Section 5307 (JARC) projects, in accordance with federal Title VI requirements, Lifeline Program Administrators must distribute the Section 5307 (JARC) 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 (JARC) 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 (JARC) 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 (JARC) direct recipients will be responsible for adhering to FTA requirements through their agreements and grants with FTA directly and for ensuring that all subrecipients and third-party contractors comply with FTA requirements.

19. TIMELINE. The anticipated timeline for Cycle 4 is as follows:

<b>Program</b>	<b>Action</b>	<b>Anticipated Date*</b>
All	Commission approves Cycle 4 Program Guidelines	October 22, 2014
All	MTC issues guidelines to counties	October 22, 2014
Prop 1B	Transit operators submit draft project lists to County Lifeline Program Administrators	January 15, 2015
Prop 1B	Allocation requests due to MTC (concurrence** from the CMA is required)	March 13, 2015
5307 (JARC) & STA	Board-approved** programs due to MTC from CMAs	March 13, 2015
<b>All</b>	<b>Commission approval of Program of Projects</b>	<b>April 22, 2015</b>
5307 (JARC)	MTC submits TIP amendment for FY14, FY15 and FY16 projects	End of April – Deadline TBD
Prop 1B & STA	Project sponsors submit TIP amendments	End of April – Deadline TBD
Prop 1B	MTC submits allocation requests to Caltrans	Deadline TBD by Caltrans*
STA	Operators can file claims for FY14 and FY15	After 4/22/15 Commission Approval
5307 (JARC)	Deadline for transit operators (FTA grantees) to submit FTA grants for FY14 and FY15 funds	June 30, 2015
STA	Operators can file claims for FY16	After July 1, 2015
5307 (JARC)	Deadline for transit operators (FTA grantees) to submit FTA grants for FY16 funds	June 30, 2016

\* 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.

**Appendix 1  
Lifeline Transportation Program Cycle 4  
Funding Source Information**

	State Transit Assistance (STA)	Proposition 1B – Transit	Section 5307 Job Access and Reverse Commute (JARC)
Purpose of Fund Source	<b>To improve existing public transportation services and encourage regional transportation coordination</b>	<b>To help advance the State’s goals of providing mobility choices for all residents, reducing congestion, and protecting the environment</b>	<b>To support the continuation and expansion of public transportation services in the United States</b>
Detailed Guidelines	<a href="http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/STIP/TDA_4-17-2013.pdf">http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/STIP/TDA_4-17-2013.pdf</a>	<a href="http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/Prop%201B/PTMISEA-Guidelines_2013.pdf">http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/Prop%201B/PTMISEA-Guidelines_2013.pdf</a>	<a href="http://www.fta.dot.gov/documents/FINAL_FTA_circular9030.1E.pdf">http://www.fta.dot.gov/documents/FINAL_FTA_circular9030.1E.pdf</a>
Use of Funds	For public transportation purposes including community transit services	For public transportation purposes	For the Lifeline Transportation Program, the use of Section 5307 funds is restricted solely to Job Access and Reverse Commute projects that support the development and maintenance of transportation services designed to transport welfare recipients and eligible low income individuals to and from jobs and activities related to their employment.
Eligible Recipients	<ul style="list-style-type: none"> <li>▪ Transit operators</li> <li>▪ Consolidated Transportation Service Agencies (CTSAs)</li> <li>▪ Cities and Counties if eligible to claim TDA Article 4, 4.5 or 8 funds</li> </ul>	<ul style="list-style-type: none"> <li>▪ Transit operators</li> </ul>	<ul style="list-style-type: none"> <li>▪ Transit operators that are FTA grantees</li> </ul>
Eligible Subrecipients <b>(must partner with an eligible recipient that will serve as a pass-through agency)</b>	<ul style="list-style-type: none"> <li>▪ Private non-profit organizations</li> <li>▪ Cities and counties that are not eligible to claim TDA Article 4, 4.5 or 8 funds</li> </ul>	<ul style="list-style-type: none"> <li>▪ N/A</li> </ul>	<ul style="list-style-type: none"> <li>▪ Private non-profit organizations</li> <li>▪ Public agencies that are not FTA grantees (e.g., cities, counties)</li> </ul>

	State Transit Assistance (STA)	Proposition 1B – Transit	Section 5307 Job Access and Reverse Commute (JARC)
Eligible Projects	<p><b><u>Transit Capital and Operations, including:</u></b></p> <ul style="list-style-type: none"> <li>▪ New, continued or expanded fixed-route service</li> <li>▪ Purchase of vehicles</li> <li>▪ Shuttle service if available for use by the general public</li> <li>▪ Purchase of technology (e.g., GPS, other ITS applications)</li> <li>▪ Capital projects such as bus stop improvements, including bus benches, shelters, etc.</li> <li>▪ Various elements of mobility management, if consistent with STA program purpose and allowable use. These may include planning, coordinating, capital or operating activities.</li> </ul>	<p><u>Transit Capital</u> (including a minimum operable segment of a project) for:</p> <ul style="list-style-type: none"> <li>▪ Rehab, safety, or modernization improvements</li> <li>▪ Capital service enhancements or expansions</li> <li>▪ New capital projects</li> <li>▪ Bus rapid transit improvements</li> <li>▪ Rolling stock procurement, rehab, or replacements</li> </ul> <p>Projects must be consistent with most recently adopted short-range transit plan or other publicly adopted plan that includes transit capital improvements.</p>	<p><u>New and existing services.</u> Eligible job access and reverse commute projects must provide for the development or maintenance of eligible job access and reverse commute services. Recipients may not reclassify existing public transportation services that have not received funding under the former Section 5316 program as job access and reverse commute services in order to qualify for operating assistance. In order to be eligible as a job access and reverse commute project, a proposed project must qualify as either a “development project” or a “maintenance project” (see Section 7.c.(2) of these guidelines for details regarding “development” and “maintenance” projects).</p> <p><u>Capital and Operating projects.</u> Projects that comply with the requirements above may include, but are not limited to:</p> <ul style="list-style-type: none"> <li>▪ Late-night &amp; weekend service;</li> <li>▪ Guaranteed ride home service;</li> <li>▪ Shuttle service;</li> <li>▪ Expanding fixed route public transit routes, including hours of service or coverage;</li> <li>▪ Demand-responsive van service;</li> <li>▪ Ridesharing and carpooling activities;</li> <li>▪ Transit-related aspects of bicycling;</li> <li>▪ Administration and expenses for voucher programs;</li> <li>▪ Local car loan programs;</li> <li>▪ Intelligent Transportation Systems (ITS);</li> <li>▪ Marketing; and</li> <li>▪ Mobility management.</li> </ul> <p>See FTA C 9030.1E, Chapter IV, Section 5 for details regarding eligible JARC projects.</p>

	State Transit Assistance (STA)	Proposition 1B – Transit	Section 5307 Job Access and Reverse Commute (JARC)
Lifeline Program Local Match	20%	20%	<ul style="list-style-type: none"> <li>▪ 50% for operating projects (may use STA funds to cover up to 30% if project is eligible for <b>both</b> JARC and STA)</li> <li>▪ 50% for auto projects</li> <li>▪ 20% for capital projects</li> </ul>
Estimated timing for availability of funds to project sponsor	<p>Transit operators, CTSAs and eligible cities and counties can initiate claims for FY14 and FY15 funds immediately following MTC approval of program of projects, and can initiate claims for FY16 funds after July 1, 2015.</p> <p>For subrecipients, the eligible recipient acting as fiscal agent will likely initiate a funding agreement following MTC approval of program of projects. Funds will be available on a reimbursement basis after execution of the agreement.</p>	<p>Project sponsors must submit a Proposition 1B allocation request to MTC for submittal to Caltrans by March 13, 2015. Disbursement timing depends on bond sales.</p>	<p>Following MTC approval of the program of projects, MTC will add projects to the TIP. Following TIP approval, FTA grantees must submit FTA grants for FY14 and FY15 funds by June 30, 2015. (The deadline to submit grants for FY15 funds may be extended depending on the availability of FY15 apportionments.) FTA grantees must submit FTA grants for FY16 funds by June 30, 2016.</p> <p>FTA grantees can begin their projects after the funds are obligated in an FTA grant (estimated Fall 2015 for FY14 &amp; FY15 funds; estimated Fall 2016 for FY16 funds). For subrecipients, the FTA grantee acting as fiscal agent will likely initiate a funding agreement following FTA grant award. Funds will be available on a reimbursement basis after execution of the agreement.</p>
Accountability & Reporting Requirements	<p>Transit operators and eligible cities and counties must submit annual performance (i.e., ridership) statistics for the project, first to Lifeline Program Administrators for review, and then to MTC along with annual claim.</p> <p>Depending on the arrangement with the pass-through agency, subrecipients will likely submit quarterly performance reports with invoices, first to the pass-through agency for reimbursement, and then to Lifeline Program Administrators for review.</p>	<p>Using designated Caltrans forms, project sponsors are required to submit project activities and progress reports to the state every six months, as well as a project close-out form. Caltrans will track and publicize progress via their website.</p> <p>Project sponsor will not be required to submit progress reports to the Lifeline Program Administrator unless the LPA believes that county-level project monitoring would be beneficial. MTC and/or the Lifeline Program Administrators may request to be copied on progress reports that are submitted to Caltrans.</p>	<p>FTA grantees are responsible for following all applicable federal requirements for preparing and maintaining their Section 5307 (JARC) grants. MTC and/or the Lifeline Program Administrators may request copies of FTA grantees' quarterly Section 5307 (JARC) grant reports to FTA.</p> <p>Depending on the arrangement with the pass-through agency, subrecipients will likely submit quarterly performance reports with invoices, first to Lifeline Program Administrators for review, and then to the pass-through agency for reimbursement. Subrecipients will also submit Title VI reports annually to the pass-through agency.</p>

**Note:** Information on this chart is accurate as of October 2014. 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).

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## **Appendix 2**

### **Lifeline Transportation Program Cycle 4**

#### **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. 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 outreach 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 communities of concern (CoC) mapping tool showing both CoCs adopted with Plan Bay Area as well as the most recent socioeconomic data available from the Census Bureau is available at: [http://gis.mtc.ca.gov/samples/Interactive\\_Maps/cocs.html](http://gis.mtc.ca.gov/samples/Interactive_Maps/cocs.html).<sup>1</sup>

- 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.

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<sup>1</sup> There is a user's guide available to aid in the use of this tool.

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.

## Lifeline Transportation Program Cycle 4 Funding Application

**A. GENERAL PROJECT INFORMATION****1. Project Sponsor**

Name of the organization \_\_\_\_\_

Contact person \_\_\_\_\_

Address \_\_\_\_\_

Telephone number \_\_\_\_\_

E-mail address \_\_\_\_\_

DUNS Number<sup>1</sup> \_\_\_\_\_

**2. Other Partner Agencies**

Agency	Contact Person	Address	Telephone

**3. Project Type: *Check one.***  Operating  Capital  Both

**For operating projects, please check one of the following:**  New  Continuing

**4. Project Name:** \_\_\_\_\_

**5. Brief Description of Project (50 words max.):**

**6. Budget Summary:**

	Amount (\$)	% of Total Project Budget
Amount of Lifeline funding requested:		
Amount of local match proposed:		
Total project budget:		

<sup>1</sup> Provide your organization's nine-digit Dun & Bradstreet (D&B) Data Universal Numbering System (DUNS) Number. To search for your agency's DUNS Number or to request a DUNS Number via the Web, visit the D&B website: <http://fedgov.dnb.com/webform>. To request a DUNS Number by phone, contact the D&B Government Customer Response Center at 1-866-705-5711.

**B. PROJECT ELIGIBILITY**

**Lifeline Eligibility**

Does the project result in improved mobility for low-income residents of the Bay Area?

Yes. *Continue.*     No. *Stop. The project is not eligible to receive Lifeline funds.*

Does the project address a transportation gap and/or barrier identified in one of the following planning documents? (Additional details to be provided in question #3)

Yes. *Continue.*     No. *Stop. The project is not eligible to receive Lifeline funds.*

*Check all that apply:*

- Community-Based Transportation Plan (CBTP)
- Other substantive local planning effort involving focused outreach to low-income populations
- Countywide or regional welfare-to-work transportation plan
- Coordinated Public Transit-Human Services Transportation Plan
- Other documented assessment of need within the designated communities of concern

(Please specify: \_\_\_\_\_)

Is the service open to the general public or open to a segment of the general public defined by age, disability, or low income?

Yes. *Continue.*     No. *Stop. The project is not eligible to receive Lifeline funds.*

**Section 5307 Job Access and Reverse Commute (JARC) Eligibility**

Is the project designed to transport welfare recipients and eligible low income individuals to and from jobs and activities related to their employment, including transportation projects that facilitate the provision of public transportation services from urbanized areas and rural areas to suburban employment locations?

Yes. *The project may be eligible to receive Section 5307 JARC funds.*

No. *The project is not eligible to receive Section 5307 JARC funds, but may be eligible to receive STA funds*

**For “transportation services” projects:** Is the project a JARC “development” or “maintenance” project, as defined by the Federal Transit Administration (FTA)? *Check one.*

*If one of the boxes below is checked, the project may be eligible to receive Section 5307 JARC funds.*

- Development project** (New project that was not in service as of the date MAP-21 became effective October 1, 2012; includes projects that expand the service area or hours of operation for an existing service.)
- Maintenance project** (Projects and services that received funding under the former FTA Section 5316 JARC program.)

**C. CIVIL RIGHTS**

1. **Civil Rights Policy:** The following question is not scored. If the response is satisfactory, the applicant is eligible for Lifeline funds; if the response is not satisfactory, the applicant is not eligible.

Describe the organization’s policy regarding Civil Rights (based on Title VI of the Civil Rights Act) and for ensuring that benefits of the project are distributed equitably among low income and minority population groups in the project’s service area.

2. **Demographic Information:** The following question is for administrative purposes only and is not a factor in determining which projects are selected to receive an award. (Please contact your Lifeline Program Administrator for assistance if you do not have this demographic information readily available, or visit <http://factfinder2.census.gov>)

Does the proportion of minority people in the project’s service area exceed 58 percent (i.e., the regional average minority population)?

Yes  No

**D. PROJECT NARRATIVE**

Please provide a narrative to describe the project addressing points #1-13 below:

**Project Need/Goals and Objectives**

1. Describe the unmet transportation need 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. Describe the specific community this project will serve, and provide pertinent demographic data and/or maps.
2. What are the project’s goals and objectives? Estimate the number of service units that will be provided (e.g., one-way trips, vehicle loans, bus shelters, persons trained). Estimate the number of low-income persons that will be served by this project per day, per quarter and/or per year (as applicable).

**Community-Identified Priority**

3. How does the project address a transportation gap and/or barrier identified in Community-Based Transportation Plan (CBTP) and/or other substantive local planning effort involving focused outreach to low-income populations? Indicate the name of the plan(s) and the page number where the relevant gap and/or barrier is identified. If applicable, indicate the priority given to the project in the plan. (For more information about CBTPs, visit <http://www.mtc.ca.gov/planning/cbtp/>.)

How does the project address a gap and/or barrier identified in a countywide or regional welfare-to-work transportation plan, the Bay Area’s 2013 Coordinated Public Transit-Human Services Transportation Plan (Coordinated Plan), and/or other documented assessment of needs within designated communities of concern? Indicate the name of the plan(s) and the page number where the relevant need is identified. The Coordinated Plan is available at <http://www.mtc.ca.gov/planning/pths/>.

Per the Lifeline Transportation Program Cycle 4 Guidelines, Appendix 2 Evaluation Criteria, priority should be given to projects that directly address transportation gaps and/or barriers identified through a CBTP or other substantive local planning effort involving focused outreach to low-income populations; however, other projects may also be considered, such as those that address transportation needs identified in countywide or regional welfare-to-work transportation plans, the

## Lifeline Transportation Program Cycle 4 Funding Application

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Coordinated Plan, or other documented assessment of needs within designated communities of concern.

4. Is the project located in the community in which the CBTP and/or other substantive local planning effort involving focused outreach to low-income populations was completed? If not, please include justification for applying the findings from the CBTP and/or other substantive local planning effort in another low-income area. For more information, visit <http://www.mtc.ca.gov/planning/cbtp/> and <http://www.mtc.ca.gov/planning/snapshot/>.

A communities of concern (CoC) mapping tool showing both CoCs adopted with Plan Bay Area as well as the most recent socioeconomic data available from the Census Bureau is available at: [http://gis.mtc.ca.gov/samples/Interactive\\_Maps/coes.html](http://gis.mtc.ca.gov/samples/Interactive_Maps/coes.html). There is a user's guide available to aid in the use of this tool.

### Implementation Plan and Project Management Capacity

5. ***For operating projects:*** Provide an operational plan for delivering service, including a project schedule. For fixed route projects, include a route map.

***For capital projects:*** Provide an implementation plan for completing a capital project, including a project schedule with key milestones and estimated completion date.

6. Describe any proposed use of innovative approaches that will be employed for this project and their potential impact on project success.
7. Is the project ready to be implemented? What, if any, major issues need to be resolved prior to implementation? When are the outstanding issues expected to be resolved?
8. Describe and provide evidence of your organization's ability to provide and manage the proposed project. Identify previous experience in providing and coordinating transportation or related services for low-income persons. Describe key personnel assigned to this project, and their qualifications.
9. Indicate whether your organization has been or is a current recipient of state or federal transportation funding. If your organization has previously received Lifeline funding, please indicate project name and grant cycle and briefly describe project progress/outcomes including the most recent service utilization rate.

### Coordination and Program Outreach

10. Describe how the project will be coordinated with public and/or private transportation providers, social service agencies, and private non-profit organizations serving low-income populations.
11. Describe how project sponsor will continue to involve key stakeholders throughout the project. Describe plans to market the project, and ways to promote public awareness of the program.

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### Cost-Effectiveness and Performance Indicators

12. Demonstrate how the proposed project is the most appropriate way in which to address the identified transportation need. Identify performance measures to track the effectiveness of the project in meeting the identified goals. 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 (e.g., cost per trip), and a quantitative summary of service delivery procedures employed for the project. For capital-related projects, milestones and reports on the status of project delivery should be identified.
13. Describe a plan for ongoing monitoring and evaluation of the service, and steps to ensure that original goals are achieved.

### E. BUDGET

#### Project Budget/Sustainability

1. Provide a detailed line-item budget describing each cost item including start-up, administration, operating and capital expenses, and evaluation in the format provided below. If the project is a multi-year project, detailed budget information must be provided for all years. Please show all sources of revenue, including anticipated fare box revenue.

The budget should be in the following format:

REVENUE	Year 1	Year 2	Year 3	TOTAL
Lifeline Program Funds				\$ -
[Other Source of Funds]				\$ -
[Other Source of Funds]				\$ -
<b>TOTAL REVENUE</b>	\$ -	\$ -	\$ -	\$ -
EXPENDITURES <sup>1</sup>	Year 1	Year 2	Year 3	TOTAL
Operating Expenses (list by category)				\$ -
Capital Expenses (list by category)				\$ -
[Other Expense Category]				\$ -
[Other Expense Category]				\$ -
<b>TOTAL EXPENSES</b>	\$ -	\$ -	\$ -	\$ -

<sup>1</sup> If the project includes indirect expenses, the applicant must have a federally approved indirect cost rate.

Clearly specify the source of the required matching funds. Include letter(s) of commitment from all agencies contributing towards the match. If the project is multi-year, please provide letters of commitment for all years.

2. Describe efforts to identify potential funding sources for sustaining the service beyond the grant period if needed.

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### F. STATE AND FEDERAL COMPLIANCE

By signing the application, the signator affirms that: 1) the statements contained in the application are true and complete to the best of their knowledge; and 2) the applicant is prepared to comply with any and all laws, statutes, ordinances, rules, regulations or requirements of the federal, state, or local government, and any agency thereof, which are related to or in any manner affect the performance of the proposed project, including, but not limited to, Transportation Development Act (TDA) statutes and regulations, 49 U.S.C. Section 5307, FTA Circular C 9030.1E, the most current FTA Master Agreement, and the most current Certifications and Assurances for FTA Assistance Programs.

For further information, see the Lifeline Transportation Program Cycle 4 Guidelines (MTC Resolution No. 4159), available at [http://www.mtc.ca.gov/planning/lifeline/LTP4\\_guidelines.pdf](http://www.mtc.ca.gov/planning/lifeline/LTP4_guidelines.pdf)

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Signature

Date

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Printed Name

- (14) Lobbying expenses;
  - (15) Revenue items that directly offset public transportation expenses (referred to as contra-items), such as the following:
    - (16) Interest income earned on working capital;
    - (17) Proceeds from the sale of equipment in excess of the depreciated value (private operators only);
    - (18) Cash discounts and refunds that directly offset accrued expenses;
    - (19) Insurance claims and reimbursements that directly offset accrued liabilities; and
    - (20) State fuel tax rebates to public operators.
5. **JOB ACCESS AND REVERSE COMMUTE PROJECTS.** MAP-21 created a new eligible project category for “job access and reverse commute projects” under Section 5307. This category includes all types of projects that were formerly eligible under the Section 5316 Job Access and Reverse Commute Program. Examples of eligible projects are listed in paragraph (e) below. There is no requirement or limit to the amount of Section 5307 funds that can be used for these projects.

Although private nonprofit organizations are not eligible sub-recipients for other Section 5307 funds, private nonprofit organizations may receive funding for job access and reverse commute projects as a sub-recipient of an FTA designated recipient or direct recipient.

A job access and reverse commute project is defined in 49 U.S.C. 5302(9) as:

“a transportation project to finance the planning, capital and operating costs 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, including transportation projects that facilitate the provision of public transportation services from urbanized areas and rural areas to suburban employment locations.”

Consistent with this definition, job access and reverse commute projects may include operating assistance in a large UZA, where operating assistance is otherwise not an eligible expense. Operating assistance for eligible job access and reverse commute projects is not limited by the “100 bus” special rule for operating assistance established by MAP-21 under 5307(a)(2).

In order for a job access and reverse commute project to receive funding under Section 5307, it must meet the following requirements:

- a. **New and Existing Services.** 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:

- (1) Development Projects. “Development of transportation services” means new projects that meet the statutory definition and were not in service as of the date MAP-21 became effective October 1, 2012. This includes projects that expand the service area or hours of operation for an existing service. Projects for the development of new qualifying job access and reverse commute projects must be identified as such in the recipient’s program of projects (POP).
  - (2) 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 program.
- b. Reverse Commute Projects. Reverse commute projects are a category of job access and reverse commute projects that provide transportation services from urbanized and rural areas to suburban employment locations. Generally, these services increase the capacity of public transportation services operating in the reverse direction of existing peak services. Reverse commute projects may only qualify as job access and reverse commute projects under Section 5307 if they meet all other requirements, including having been designed to transport welfare recipients and eligible low-income individuals to and from jobs and employment related activities.
  - c. Welfare Recipients and Eligible Low-Income Individuals. Projects funded as “job access and reverse commute projects” must be designed to provide transportation for welfare recipients and eligible low-income individuals. The term “low-income individual” is defined as an individual whose family income is at or below 150 percent of the poverty line, as that term is defined in Section 673(2) of the Community Services Block Grant Act (42 U.S.C. 9902(2)), including any revision required by that Section, for a family of the size involved. Projects that serve the general public without specific route or design characteristics intended to respond to the needs of these populations may not be eligible as job access and reverse commute project. However, job access and reverse commute projects do not need to be designed exclusively for these populations.
  - d. Planning and Program Development. In order for an entity to receive Section 5307 funding for a job access and reverse commute project, the project must be identified by the recipient as a job access and reverse commute project in the recipient’s POP, which must be made available for public review and comment.

In addition, FTA encourages recipients to ensure that projects meet the employment-related transportation needs of welfare recipients and low income individuals, either by deriving such projects from a locally coordinated public transportation/human services planning process that involves low-income communities and their stakeholders, or by an alternative process that engages low income community stakeholders in the identification and development of the project.

e. Eligible Projects. Projects that comply with the requirements above may include, but are not limited to:

(1) Late-night and weekend service;

(2) Guaranteed ride home service;

(3) Shuttle service;

(4) Expanding fixed route public transit routes, including hours of service or coverage;

(5) Demand-responsive van service;

(6) Ridesharing and carpooling activities;

(7) Transit-related aspects of bicycling (e.g., adding bicycle racks to vehicles to support individuals that bicycle a portion of their commute, providing secure bicycle parking at transit stations, or infrastructure and operating expenses for bicycle sharing programs in the vicinity of transit stations, not including the acquisition of bicycles);

(8) Promotion, through marketing efforts, of the: (i) use of transit by low-income individuals and welfare recipients with nontraditional work schedules; (ii) use of transit voucher program by appropriate agencies for welfare recipients and other low-income individuals; (iii) development of employer-provided transportation such as shuttles, ridesharing, carpooling; or (iv) use of transit pass programs and benefits under Section 132 of the Internal Revenue Code of 1986;

(9) Supporting the administration and expenses related to voucher programs. This activity is intended to supplement existing transportation services by expanding the number of providers available or the number of passengers receiving transportation services. Vouchers can be used as an administrative mechanism for payment to providers of alternative transportation services. Job access and reverse commute projects can provide vouchers to low-income individuals to purchase rides, including (i) mileage reimbursement as part of a volunteer driver program, (ii) a taxi trip, or (iii) trips provided by a human service agency. Providers of transportation can then submit the voucher to the FTA recipient or sub-recipient administering the project for payment based on predetermined rates or contractual arrangements. Transit passes for use on fixed route or Americans with Disabilities Act of 1990 (ADA) complementary paratransit service are not eligible. Vouchers are an operational expense which requires a 50 percent local match;

(10) Supporting local car loan programs that assist individuals in purchasing and maintaining vehicles for shared rides, including the provision of capital loan guarantees for such car loan programs, provided the Federal interest in the loan guarantee fund is maintained and the funds continue to be used for subsequent loan guarantees or are returned to the government upon the release of funds from each guarantee;

- (11) Implementing intelligent transportation systems (ITS), including customer trip information technology, vehicle position monitoring systems, or geographic information systems (GIS) software;
- (12) Integrating automated regional public transit and human service transportation information, scheduling, and dispatch functions;
- (13) Subsidizing the costs associated with adding reverse commute bus, train, carpool van routes or service from urbanized and nonurbanized areas to suburban workplaces;
- (14) Subsidizing the purchase or lease by a private nonprofit organization or public agency of a van or bus dedicated to shuttling employees from their residences to a suburban workplace;
- (15) Otherwise facilitating the provision of public transportation service to suburban employment opportunities; and
- (16) Supporting mobility management and coordination programs among public transportation providers and other human service agencies providing transportation. Mobility management techniques may enhance transportation access for populations beyond those serviced by one agency or organization within a community. For example, under mobility management, a private nonprofit agency could receive job access and reverse commute funding to support the administrative costs of sharing services it provides to its own clientele with other low-income individuals and coordinate usage of vehicles with other private nonprofits, but not the operating costs of the service. As described under "Capital Projects," mobility management is intended to build coordination among existing public transportation providers and other transportation service providers with the result of expanding the availability of service.

6. INTEREST AND DEBT FINANCING AS AN ELIGIBLE COST. There are several areas in which interest is an eligible project cost for FTA's Section 5307 program assistance, with certain limitations.

- a. Bond Interest in Advance Project Authority. This applies to a situation in which a recipient has obligated all of its Urbanized Area Formula Program funds for capital or planning projects and would like to carry out any part of a project with local funds which FTA may later reimburse under advance project authority. This authority, which is set forth in 5307(e), permits FTA to participate in the project costs, including any interest payable by the recipient and earned by the bondholder on bonds issued by the recipient to the extent the recipient has actually expended the proceeds of the bonds in carrying out the portion of the project. The recipient must certify that it has shown reasonable diligence in seeking the most favorable financing terms available in order for interest to be an eligible reimbursable cost.
- b. Buildings and Equipment. Office of Management and Budget (OMB) regulations at 2 CFR part 225, formerly OMB Circular A-87, "Cost Principles for State, Local, and

## SAMPLE RESOLUTION TEXT FOR LIFELINE PROJECT SPONSOR

WHEREAS, the Metropolitan Transportation Commission (MTC) has established a Lifeline Transportation Program to assist in funding projects that 1) are intended to result in improved mobility for low-income residents of the nine San Francisco Bay Area counties, 2) are developed through a collaborative and inclusive planning process and 3) are proposed to address transportation gaps and/or barriers identified through a substantive community-based transportation plan or are otherwise based on a documented assessment of needs; and

WHEREAS, MTC has adopted principles, pursuant to MTC Resolution No. 4159, to guide implementation of the Lifeline Transportation Program for the three year period from Fiscal Year 2013-14 through Fiscal Year 2015-16, and has designated the County Congestion Management Agency (or another countywide entity) in each of the nine bay area counties to help with recommending project selections and project administration; and

WHEREAS, (County Agency) has been designated by MTC to assist with the Lifeline Transportation Program in (County) on behalf of MTC; and

WHEREAS, (County Agency) conducted a competitive call for projects for the Lifeline Transportation Program in (County) county; and

WHEREAS, (Project Sponsor) submitted a project(s) in response to the competitive call for projects; and

WHEREAS, (County Agency) has confirmed that (Project Sponsor)'s proposed project(s), described more fully on Attachment A to this Resolution, attached to and incorporated herein as though set forth at length, is consistent with the Lifeline Transportation Program goals as set out in MTC Resolution No. 4159; and

WHEREAS, (County Agency), after review, recommends (Project Sponsor)'s proposed project(s), described more fully on Attachment A to this Resolution, attached to and incorporated herein as though set forth at length, be funded in part under the Lifeline Transportation Program; and

WHEREAS, (Project Sponsor) agrees to meet project delivery and obligation deadlines, comply with funding conditions placed on the receipt of funds allocated to the Lifeline Transportation Program, provide for the required local matching funds, and satisfy all other conditions set forth in MTC Resolution No. 4159; and

WHEREAS, (Project Sponsor) certifies that the project(s) and purpose(s) for which funds are being requested is in compliance with the requirements of the California Environmental Quality Act (Public Resources Code Section 21000 *et seq.*), and with the State Environmental Impact Report Guidelines (14 California Code of Regulations

Section 1500 et seq.) and if relevant the National Environmental Policy Act (NEPA), 42 USC Section 4-1 et seq. and the applicable regulations thereunder; and

WHEREAS, there is no legal impediment to (Project Sponsor) making the funding request; and

WHEREAS, there is no pending or threatened litigation which might in any way adversely affect the ability of (Project Sponsor) to deliver the proposed project(s) for which funds are being requested, now therefore be it

RESOLVED, that (Project Sponsor) requests that MTC program funds available under its Lifeline Transportation Program, in the amounts requested for which (Project Sponsor) is eligible, for the project(s) described in Attachment A of this Resolution; and be it further

RESOLVED, that staff of (Project Sponsor) shall forward a copy of this Resolution, and such other information as may be required, to MTC, (County Agency), and such other agencies as may be appropriate.

J:\PROJECT\Funding\Lifeline\Cycle 4\08. Resolution of Local Support\LTP4\_LocalSupportReso.doc

**SAMPLE ATTACHMENT A**  
**Lifeline Transportation Program Cycle 3 Projects**

Project Name	Project Description	Lifeline Transportation Program Funding Amounts				Total Lifeline Funding	Local Match Amount	Total Project Cost
		1B	STA	JARC	STP			
Insert Project Name #1	Insert Project Description	\$	\$	\$	\$	\$	\$	\$
Insert Project Name #2	Insert Project Description	\$	\$	\$	\$	\$	\$	\$
Insert Project Name #2	Insert Project Description	\$	\$	\$	\$	\$	\$	\$
Total		\$	\$	\$	\$	\$	\$	\$

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## Appendix 2

### Lifeline Transportation Program Cycle 4 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. 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 outreach 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 communities of concern (CoC) mapping tool showing both CoCs adopted with Plan Bay Area as well as the most recent socioeconomic data available from the Census Bureau is available at: [http://gis.mtc.ca.gov/samples/Interactive\\_Maps/cocs.html](http://gis.mtc.ca.gov/samples/Interactive_Maps/cocs.html).<sup>1</sup>

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<sup>1</sup> There is a user's guide available to aid in the use of this tool.

- 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.



**METROPOLITAN  
TRANSPORTATION  
COMMISSION**

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## Memorandum

TO: Lifeline Cycle 4 Applicants

DATE: October 22, 2014

FR: Kristen Mazur

RE: Supplemental Instructions for Question C2 – Civil Rights Demographic Information

The following instructions pertain to Question C2 in the Lifeline Transportation Program Cycle 4 Funding Application. Question C2 is for administrative purposes only and is not a factor in determining which projects are selected to receive an award; however, MTC is required to track this information so it is important that you provide it.

If applicants already have demographic information for their service area, that data can be used to respond to Question C2. If applicants do not have the required demographic information, they can collect it from the U.S. Census Bureau website (<http://factfinder2.census.gov>) using the detailed instructions below.

**C2) Does the proportion of minority people in the project’s service area exceed 58 percent (i.e., the regional average minority population)?**

Visit <http://factfinder2.census.gov> and follow steps 1–4 below:

**1. Enter City or County (followed by "California")\***

Example:  
Oakland, CA

**2. Click on 'Go'**

\* For geographies smaller than Cities or Counties, contact MTC staff for assistance

– Continued on next page –

U.S. Department of Commerce  
United States Census Bureau  
AMERICAN FactFinder

Community Facts - Find popular facts (population, income, etc.) and frequently requested data about your community.

Enter a state, county, city, town, or zip code: oakland california

Population  
Age  
Business and Industry  
Education  
Governments  
Housing  
Income  
Origins and Language  
Poverty  
Race and Hispanic Origin  
Veterans  
Show All

**Oakland city, California**

Census 2010 Total Population  
**390,724** Source: 2010 Demographic Profile

Popular tables for this geography:

- 2010 Census
  - General Population and Housing Characteristics (Population, Age, Sex, Race, Households and Housing, ...)
  - Race and Hispanic or Latino Origin
  - Households and Families (Relationships, Children, Household Size, ...)
- 2012 American Community Survey
  - Demographic and Housing Estimates (Age, Sex, Race, Households and Housing, ...)
- 2013 Population Estimates Program
  - Annual Population Estimates
- Census 2000
  - General Demographic Characteristics (Population, Age, Sex, Race, Households and Housing, ...)

Want more? Need help? Use Guided Search or visit Census.gov's Quick Facts.

Note: You can confirm &/or modify your geographic selection

3. Click the link for the 2010 Census Table called "General Population and Housing Characteristics (Population, Age...)"

American FactFinder - Results

factfinder2.census.gov/faces/tableservices/jsf/pages/productview.xhtml?pid=DEC\_10\_DP\_DPDP1

U.S. Department of Commerce  
United States Census Bureau  
AMERICAN FactFinder

Community Facts - Find popular facts and frequently requested data about your community

1 Community Facts 2 Table Viewer

DP-1 Profile of General Population and Housing Characteristics: 2010  
2010 Demographic Profile Data

Table View

Actions: Modify Table | Bookmark | Print | Download | Create a Map

NOTE: For more information on confidentiality protection, nonsampling error, and definitions, see <http://www.census.gov/prod/cen2010/doc/dpsf.pdf>.

Geography: Oakland city, California

Subject	Number	Percent
SEX AND AGE		
Total population	390,724	100.0
Not Hispanic or Latino	291,656	74.6
HISPANIC OR LATINO AND RACE		
Total population	390,724	100.0
Hispanic or Latino	99,068	25.4
White alone	33,517	8.6
Black or African American alone	2,834	0.7
American Indian and Alaska Native alone	1,826	0.5
Asian alone	684	0.2
Native Hawaiian and Other Pacific Islander alone	141	0.0
Some Other Race alone	52,165	13.4
Two or More Races	7,801	2.0
Not Hispanic or Latino	291,656	74.6
White alone	101,308	25.9
Black or African American alone	106,637	27.3
American Indian and Alaska Native alone	1,214	0.3

Note: Proportion of minority people = A-B

4. Scroll down to "Hispanic or Latino and Race" & collect data

If you have any questions, contact Kristen Mazur at (510) 817-5789 or [kmazur@mtc.ca.gov](mailto:kmazur@mtc.ca.gov).



DATE : December 8, 2014  
TO: SolanoExpress Intercity Transit Consortium  
FROM: Liz Niedziela, Transit Program Manager  
RE: Proposed DRAFT January 2015 Schedules For SolanoExpress Routes 78 and 85

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At SolTrans' request, the attached staff report and supporting documents have been added to the Consortium agenda as an item for discussion.

Attachments:

- A. SolTrans Staff Report - Proposed Draft January 2015 Schedules For SolanoExpress Routes 78 and 85
- B. DRAFT Route 78 Weekday and Saturday Schedule
- C. DRAFT Route 85 Weekday and Saturday Schedule

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**TO:** STA SOLANO EXPRESS INTERCITY TRANSIT CONSORTIUM  
**PRESENTER:** ELIZABETH ROMERO, ACTING PLANNING & OPERATIONS  
 MANAGER  
**SUBJECT:** PROPOSED DRAFT JANUARY 2015 SCHEDULES FOR SOLANO  
 EXPRESS ROUTES 78 & 85  
**ACTION:** ACTION

---

**ISSUE:**

As brought to the Solano Express Intercity Consortium on September 23, 2014, SolTrans is moving forward with the implementation of approved service changes for January 2015. The systemwide service improvements involve changes to the Routes 78 & 85 weekday schedules.

**DISCUSSION:**

SolTrans is working on implementation of schedule changes expected for January 31, 2015. The draft schedules for Route 78 and 85 are included as Attachment A and B. These will be posted in December for a two week public comment period.

The Route 78 weekday schedule incorporates three morning trips which serve Diablo Valley College (DVC) and Sun Valley Mall (SVM) after serving BART so as not to impact the commuter rider market. The afternoon schedule reflects serving DVC and SVM first so as to express back to Benicia and Vallejo directly from the BART stations. The *Route 78 Saturday schedule* has been tightened to increase the number of trips from eight to nine trips on Saturdays over the same span. The Route 78 will only serve BART on Saturdays and not the new timepoints.

SolTrans coordinated with the Central Contra Costa Transit Authority (County Connection) to implement the new bus stops as shown below.

**Route 78 New Bus Stops**

- Diablo Valley College Transit Loop
- Sun Valley Mall Southbound (Contra Costa Blvd & Viking Southbound)
- San Valley Mall Northbound (Contra Costa Blvd & Viking Northbound)

The Route 85 weekday schedule has been developed to serve the Fairfield Transportation Center and Solano Mall in both directions to improve connectivity to the FAST system. The time table proposed is designed for connections to FAST Route 1 at the FTC and Route 2 at Solano Mall. The schedule is also aligned to the top of the hour for class start times at Solano Community College. The schedule is adjusted 30 minutes earlier to arrive back at the Vallejo Transit Center five minutes before the top of the hour for connectivity between Route 85 and all SolTrans local and regional routes. The weekday schedule has the same number of trips starting half an hour

earlier and running through the same span, as the route is no longer truncated on the last trip inbound, but completes the route all the way to the Vallejo Transit Center. The Route 85 *Saturday schedule* has been aligned to the same departure times as the weekday schedules, and serves the same timepoints as the weekday schedule. The number of trips remains the same, and the span is almost the same bus shifted 30 minutes later to account for less demand for early travel on Saturdays compared to weekdays.

SolTrans coordinated with Fairfield and Suisun transit to use existing FAST bus stops as shown below.

**Route 85 New Bus Stops**

- Fairfield and Suisun Transportation Center, Bus Bay 1
- Suisun Valley Road Northbound at Kaiser/Westamerica Road

As approved through the outreach process, the Route 85 will be streamlined to express between the Vallejo Transit Center, Sereno Transit Center, Kaiser Hospital, Fairgrounds Vallejo, SunValley Road business park area, Solano Community College Fairfield Campus, Fairfield Transportation Center, and Solano Mall.

**FISCAL IMPACT:**

Fiscal impact is negligible, as there are no additional revenue hours for the Route 85 and 50 additional annualized revenue hours for Route 78. This net increase takes into account the elimination of SolTrans Route 76 to more efficiently serve those destinations while potentially increasing ridership and revenue on Route 78. There are no capital costs due to service changes to these two routes in 2015 as existing accessible bus stops will be used.

**RECOMMENDATION:**

Receive draft schedules as shown in Attachment A and B, and provide feedback and motion to support SolTrans in proceeding with the January 2015 Service Improvements for Solano Express Routes.

Attachments:

- A. DRAFT Route 78 Weekday and Saturday Schedule
- B. DRAFT Route 85 Weekday and Saturday Schedule

November 2014 Proposed Route 78/78DV all off peak service to DVC - w/Curtola

2014  
Route 76  
(78DV)  
DVC  
arrivals

**Soltrans Route 78/78DV OUT**

**Soltrans Route 78/78DV IN**

	Vallejo Transit Center (VTC)	Military & First Benicia Park	Diablo Valley College	Pleasant Hill BART Stn.	Walnut Creek BART Stn.			Walnut Creek BART Stn.	Diablo Valley College	Military & First Benicia Park	Curtola Park & Ride	Vallejo Transit Center (VTC)		
	Leave	Leave	Leave	Leave	Arrive	block	block	Leave	Leave	Leave	Leave	Arrive	block	
<b>6:30</b> gar-1	6:00	6:15		6:33	6:41	1	1	6:41	6:51	7:05		7:20	1	20 min break, connects with 7:30 departing buses at VTC
gar-2	6:20	6:35		6:57	7:07	2	2	7:15		7:35	7:45	7:50	2	
gar-3	6:40	6:55		7:17	7:27	3	3	7:35	7:48	8:04	8:14	8:19	gar-3	
gar-4	7:00	7:15		7:37	7:47	4	4	7:55		7:55	8:10	8:15	gar-4	
1	7:40	7:55		8:17	8:27	1	1	8:35		8:55	9:05	9:10	1	
2	8:00	8:15		8:37	8:47	2	2	8:47	9:00	9:16	9:24	9:28	gar-2	arrives in time for 9:30 connections
1	9:25	9:40		10:05	10:15	1	1	10:20		10:40	10:55	11:00	1	
1	11:05	11:20		11:42	11:52	1	1	11:57		12:17	12:32	12:37	1	
<b>12:55</b> 1	12:50	13:05	13:20	13:30	13:40	1	1	13:45		14:05	14:20	14:25	1	longer midday cycles improve OTP
1	14:30	14:45		15:07	15:17	1	1	15:22		15:42	15:57	16:02	1	NEW extra trip here at WC at 15:22, fill huge gap
<b>16:21</b> gar-5	15:35	15:50	16:05	16:15	16:25	5	5	16:30		16:50	17:05	17:10	5	
5 earlier 1	16:10	16:25		16:50	17:00	1	1	17:05		17:25	17:40	17:45	1	
10 earlier gar-6	16:35	16:50	17:05	17:15	17:25	6	6	17:30		17:50	18:05	18:10	6	
5	17:15	17:30		17:55	18:05	5	5	18:10		18:30	18:45	18:50	5	10 minutes later
1	18:00	18:15		18:40	18:50	1	1	18:55		19:15	19:30	19:35	gar	
6	18:20	18:35		19:00	19:10	6	6	19:20		19:40	19:55	20:00	gar-6	35 minutes earlier
5	19:00	19:15		19:40	19:50	6	6	19:55		20:15	20:30	20:35	gar-5	

# Proposed Saturday - Tightened Cycles

## Soltrans Route 78 OUT

	Vallejo Transit Center (VTC)	Military & First Benicia Park	Pleasant Hill BART Stn.	Walnut Creek BART Stn.	block	block
	Leave	Leave	Leave	Arrive		
gar-1	6:35	6:50	7:15	7:25	1	1
1	8:20	8:35	9:00	9:10	1	1
1	10:05	10:20	10:45	10:55	1	1
1	11:50	12:05	12:30	12:40	1	1
1	13:35	13:50	14:15	14:25	1	1
1	15:20	15:35	16:00	16:10	1	1
1	17:05	17:20	17:45	17:55	1	1
1	18:50	19:05	19:30	19:40	1	1
1	20:35	20:50	21:15	21:25	1	1

## Soltrans Route 78 IN

	Walnut Creek BART Stn.	Military & First Benicia Park	Curtola Park N Ride	Vallejo Transit Center (VTC)	block
	Leave	Leave	Leave	Arrive	
	7:30	7:50	8:05	8:10	1
	9:15	9:35	9:50	9:55	1
	11:00	11:20	11:35	11:40	1
	12:45	13:05	13:20	13:25	1
	14:30	14:50	15:05	15:10	1
	16:15	16:35	16:50	16:55	1
	18:00	18:20	18:35	18:40	1
	19:45	20:05	20:20	20:25	1
	21:30	21:50	22:05	22:10	gar

estimated revenue hours	15.58	saves 4 revenue minutes per day - cost neutral
estimated deadhead hours	0.33	
estimated total hours	15.91	

## Revised Proposed (Bi-Directional Service to FTC)

### Soltrans Route 85 OUT

	Vallejo Transit Center (VTC)	Sereno Transit Center	Six Flags Entrance Fairgrounds	Solano Community College	Fairfield Transit Center (FTC)	Solano Mall Fairfield		
<b>block</b>	<i>Leave</i>	<i>Leave</i>	<i>Leave</i>	<i>Leave</i>	<i>Leave</i>	<i>Arrive</i>	<b>block</b>	<b>block</b>
gar-1	5:05	5:15	5:23	5:36	5:45	5:51	1	1
gar-2	6:05	6:15	6:23	6:36	6:45	6:51	2	2
1	7:05	7:15	7:23	7:36	7:45	7:51	1	1
2	8:05	8:15	8:23	8:36	8:45	8:51	2	2
1	9:05	9:15	9:23	9:36	9:45	9:51	1	1
2	10:05	10:15	10:23	10:36	10:45	10:51	2	2
1	11:05	11:15	11:23	11:36	11:45	11:51	1	1
2	12:05	12:15	12:23	12:36	12:45	12:51	2	2
1	13:05	13:15	13:23	13:36	13:45	13:51	1	1
2	14:05	14:15	14:23	14:36	14:45	14:51	2	2
1	15:05	15:15	15:23	15:36	15:45	15:51	1	1
2	16:05	16:15	16:23	16:36	16:45	16:51	2	2
1	17:05	17:15	17:23	17:36	17:45	17:51	1	1
2	18:05	18:15	18:23	18:36	18:45	18:51	2	2
1	19:05	19:15	19:23	19:36	19:45	19:51	1	1
2	20:05	20:15	20:23	20:36	20:45	20:51	2	2
1	21:05	21:15	21:23	21:36	21:45	21:51	1	1

### Soltrans Route 85 IN

	Solano Mall Fairfield	Fairfield Transit Center (FTC)	Solano Community College	Six Flags Entrance Fairgrounds	Sereno Transit Center	Vallejo Transit Center (VTC)		
	<i>Leave</i>	<i>Leave</i>	<i>Leave</i>	<i>Leave</i>	<i>Leave</i>	<i>Arrive</i>	<b>block</b>	
	6:01	6:11	6:21	6:38	6:46	6:55	1	
	7:01	7:11	7:21	7:38	7:46	7:55	2	
	8:01	8:11	8:21	8:38	8:46	8:55	1	
	9:01	9:11	9:21	9:38	9:46	9:55	2	
	10:01	10:11	10:21	10:38	10:46	10:55	1	
	11:01	11:11	11:21	11:38	11:46	11:55	2	
	12:01	12:11	12:21	12:38	12:46	12:55	1	
	13:01	13:11	13:21	13:38	13:46	13:55	2	
	14:01	14:11	14:21	14:38	14:46	14:55	1	
	15:01	15:11	15:21	15:38	15:46	15:55	2	
	16:01	16:11	16:21	16:38	16:46	16:55	1	
	17:01	17:11	17:21	17:38	17:46	17:55	2	
	18:01	18:11	18:21	18:38	18:46	18:55	1	
	19:01	19:11	19:21	19:38	19:46	19:55	2	
	20:01	20:11	20:21	20:38	20:46	20:55	1	
	21:01	21:11	21:21	21:38	21:46	21:55	gar-2	
	22:01	22:11	22:21	22:38	22:46	22:55	gar-1	

assumes using Sacramento from VTC to Redwood, to Sereno, fastest route in sample trips  
removes service from Ferry and Mare Island Way  
this schedule serves Fairfield Transit Center and Solano Mall in both directions  
provides improved timings at SCC arriving before top of hour, and returning SB after top of hour  
features connectivity at FTC with FAST Route 1 if it can stay on time  
features secondary connectivity at Solano Mall with FAST Route 2 especially if 85 arrives late  
in order to return to VTC in time for feeding top of hour departures on local Vallejo routes, moved 5 minutes earlier all day all stops (longer waits at FTC and Mall)

estimated revenue hours	16.55
estimated deadhead hours	0.33
estimated total hours	16.88

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DRAFT SCHEDULE

**Route 85 SATURDAY OUT**

Vallejo	Sereno	Six Flags	Solano	Fairfield	Solano
Transit	Transit	Discovery Kingdom	Community	Transit	Mall
Center	Center	Fairground	College	Center	Fairfield
7:05	7:15	7:23	7:36	7:45	7:51
9:05	9:15	9:23	9:36	9:45	9:51
11:05	11:15	11:23	11:36	11:45	11:51
<b>13:05</b>	<b>13:15</b>	<b>13:23</b>	<b>13:36</b>	<b>13:45</b>	<b>13:51</b>
<b>15:05</b>	<b>15:15</b>	<b>15:23</b>	<b>15:36</b>	<b>15:45</b>	<b>15:51</b>
<b>17:05</b>	<b>17:15</b>	<b>17:23</b>	<b>17:36</b>	<b>17:45</b>	<b>17:51</b>
<b>19:05</b>	<b>19:15</b>	<b>19:23</b>	<b>19:36</b>	<b>19:45</b>	<b>19:51</b>
<b>21:05</b>	<b>21:15</b>	<b>21:23</b>	<b>21:36</b>	<b>21:45</b>	<b>21:51</b>

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**Route 85 SATURDAY IN**

Solano	Fairfield	Solano	Six Flags	Sereno	Vallejo
Mall	Transit	Community	Discovery Kingdom	Transit	Transit
Fairfield	Center	College	Fairground	Center	Center
8:01	8:11	8:21	8:38	8:46	8:55
10:01	10:11	10:21	10:38	10:46	10:55
<b>12:01</b>	<b>12:11</b>	<b>12:21</b>	<b>12:38</b>	<b>12:46</b>	<b>12:55</b>
<b>14:01</b>	<b>14:11</b>	<b>14:21</b>	<b>14:38</b>	<b>14:46</b>	<b>14:55</b>
<b>16:01</b>	<b>16:11</b>	<b>16:21</b>	<b>16:38</b>	<b>16:46</b>	<b>16:55</b>
<b>18:01</b>	<b>18:11</b>	<b>18:21</b>	<b>18:38</b>	<b>18:46</b>	<b>18:55</b>
<b>20:01</b>	<b>20:11</b>	<b>20:21</b>	<b>20:38</b>	<b>20:46</b>	<b>20:55</b>
<b>22:01</b>	<b>22:11</b>	<b>22:21</b>	<b>22:38</b>	<b>22:46</b>	<b>22:55</b>

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DATE : December 8, 2014  
TO: SolanoExpress Intercity Transit Consortium  
FROM: Liz Niedziela, Transit Program Manager  
RE: Proposed SolTrans Regional Paratransit Policy Action

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At SolTrans request, the following staff report and supporting documents have been added to the Consortium agenda as an item for discussion.

Attachments:

- A. SolTrans Staff Report - Proposed SolTrans Regional Paratransit Policy Action
- B. Proposed Regional Paratransit Policy
- C. Outreach Plan

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**TO:** STA SOLANO EXPRESS INTERCITY TRANSIT CONSORTIUM  
**PRESENTER:** ELIZABETH ROMERO, ACTING PLANNING & OPERATIONS  
 MANAGER  
**SUBJECT:** PROPOSED SOLTRANS REGIONAL PARATRANSIT POLICY  
**ACTION:** ACTION

**ISSUE:**

The Agency seeks input to develop and implement a new Regional Paratransit Policy in early 2015 which supports the overall quality of the SolTrans Americans with Disabilities Act (ADA) Paratransit Program.

**DISCUSSION:**

At the August 2014 Board meeting, and September 2014 SolTrans PAC and TAC meetings, staff presented a report with an overview of the existing SolTrans ADA Paratransit Service Policy for regional trips, the impact to the operation, and a review of industry practices.

Regional paratransit trips are considered “ADA plus” and are not part of the mandated paratransit service. In Solano County, regional paratransit travel was originally served by Solano Paratransit. Since its discontinuation in 2008, regional paratransit trips have been served by operator transfers or by the Intercity Taxi Scrip Program.

Paratransit transfers within Solano County are now provided by SolTrans serving the transfers from Vallejo and Benicia to/ from Fairfield, FAST serving trips from Fairfield to/from Vacaville, and by Vacaville City Coach serving trips from Vacaville to/from Dixon. SolTrans travels a longer distance for transfers, and also connects with many other transit operators outside of Solano County, as shown in Table 1. As a result, transfers have a more significant impact on SolTrans in terms of revenue miles, and revenue hours.

**Table 1-Connecting Agencies and Transfer Points by Volume**

County	Connecting Agency	Transfer Point	Regional Transfers Breakdown, N= 138*
Solano	DART (Fairfield and Suisun Transit)	Solano Community College, Fairfield	64%
Solano	VINE Go (Napa Vine)	Sereno Transit Center, Vallejo	N/A (local trips)
Contra Costa	East Bay Paratransit (AC Transit/BART)	Target, Pinole	22%
Contra Costa	County Connection Link	Sun Valley Mall, Concord	11%

County	Connecting Agency	Transfer Point	Regional Transfers Breakdown, N= 138*
	(CCCTA)		
Contra Costa	WestCAT	Park Lane Plaza, Hercules	3%
Contra Costa	Whistle Stop (Marin/Golden Gate Transit)	El Cerrito del Norte, BART	0-1%

\*Note breakdown of trips uses a representative month's sample of April 2014 data, which included a total of 138 regional trips.

SolTrans' management of regional paratransit trips poses several challenges for the locally-mandated ADA service, including impacts to on-time performance, vehicle availability, trip length, service productivity (riders per revenue hour and riders per mile), and Dispatch availability. Dispatchers spend a disproportionate time in a mobility management role, coordinating trips with multiple operators with different procedures, resulting in a cost of almost 16% of total operating costs to manage 7% of the paratransit trip volume.

The Federal Transit Administration requires neighboring operators to coordinate, but there is no prescription on how regional connections must be made. Given this, and what staff has learned about the various industry approaches, how our system is working and evolving, staff would like to seek input on an appropriate approach for SolTrans.

The objective of the new regional paratransit policy would be to maintain access for riders with disabilities, align with industry practice, control cost as demand for ADA service increases, and refocus the ADA paratransit service on the mandated local service quality.

**For SolTrans, the viable alternative could be a combination of the following options:**

- (1) Do not provide these trips through regional paratransit, but develop alternatives such as the Solano County Intercity Taxi Scrip program.
- (2) Utilizing existing Solano Express regional routes to facilitate regional connections and mobility for riders who can transfer to these services, whereby SolTrans Paratransit Dispatch would manage timed paratransit transfers to fixed route, and passengers would be expected to make their own local travel arrangements with neighboring operators outside the SolTrans ADA service area
- (3) Providing lifeline service within Solano County as a few grouped paratransit trips
- (4) Negotiating with connecting transfer agencies for new transfer policies
- (5) Charging a premium fare for these services

The Proposed Regional Paratransit Policy is detailed in Attachment A. The proposed policy recognizes that Solano County transfers make-up the majority of trips at 64% of regional trips (per Table 1), and therefore places more emphasis on alternatives within the county. The proposed policy does require some negotiation with connecting agencies about transfer points; per option four, however the policy avoids increasing fares.

Given public and Committee input, staff would return to the Board with a better understanding of the options that the community would use, and a maximum benefit recommendation. A new policy could be implemented in March 2015, to dovetail the introduction of systemwide fixed - route service improvements in late January 2015.

### **FISCAL IMPACT:**

Regional trip management would help ensure that the cost of providing regional trips does not diminish the Agency's resources to provide high quality ADA-mandated paratransit service and fixed route.

The fiscal impact of the regional paratransit trips is conservatively estimated at \$143,800 per year, based on the cost per regional trip (\$86.83), and the number of average regional trips per month (138 trips). Given the fare charged per trip, the farebox recovery ratio for this regional service is 4.6%.

### **PERFORMANCE GOAL:**

**Goal 1** - Maximize the safety, reliability and efficiency of transit services to allow for long-term system sustainability and competitiveness for grant funds; **Objective D** –Improve System Performance and Efficiency of Demand Response Services, including Americans with Disabilities Act (ADA) Paratransit, Benicia General Public Dial-a-Ride, and subsidized Taxi Scrip programs; ; **Strategy i** – Continue to identify, develop and implement service policies/practices that increase system efficiency and quality of service for all users. Use FY 14 System Restructuring as a basis for improvements; **Performance Measure 3** — As approved by the Board, conduct outreach for and implement changes in regional trip delivery and fares in concert with mobility management programs.

### **RECOMMENDATION:**

Provide input on the proposed Regional Paratransit Policy, provided as Attachment A and motion to support SolTrans in adopting new policy to meet its ADA obligations while maintaining connectivity to Fairfield for ADA Certified registrants.

Attachments:

- A. Proposed Regional Paratransit Policy
- B. Outreach Plan

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## **Proposed SolTrans Regional Paratransit Policy**

The policy below describes the proposed approach to meeting regional transit connections for ADA-certified riders using SolTrans Paratransit.

For Solano County connections, three options are proposed, including SolTrans ADA paratransit feeder to Solano Express regional routes, a grouped paratransit shuttle, and the Solano County Intercity Taxi Scrip Program.

For connections to operators in other counties, one option is proposed, which is the ADA paratransit feeder to fixed-route service.

### **Connections Within Solano County (Fairfield)**

1. **Feeder Service to Regional Fixed Route** - Provide timed transfers from SolTrans ADA Paratransit to the Route 85 for regular, all day, Monday through Saturday connections to/from Fairfield.
  - **Fares**
    - Current local paratransit fare of \$3.00 one-way, plus current regional Solano Express fixed-route fare for Seniors/Persons with Disabilities/Medicare of \$2.50, for a total of \$5.50 (same as current regional paratransit trip fare)
  - **Transfer Points**
    - Vallejo Transit Center
    - Fairfield Transportation Center
    - Solano Community College
    - Solano Mall
  - **Trip Reservations**
    - Riders would continue to call SolTrans for local SolTrans ADA paratransit trips; passengers would be expected to make their own local travel arrangements with FAST to arrange an ADA trip in Fairfield to or from the Route 85.
  - **Waiting with the Passenger**
    - Dropping-off at the transfer point would be the new standard; if the passenger requires additional assistance to travel to/from fixed route or accompaniment to wait for the transfer, a personal care attendant is recommended.
  - **Personal Care Attendants**
    - Passengers may choose to travel with a PCA if navigating the fixed-route system on their own is not feasible; the PCA fare is free on ADA paratransit service and reduced fare on SolTrans fixed route.

**Connections within Solano County (Fairfield) (Continued)**

2. **Grouped Shuttle** - Provide three limited group trips per weekday, with scheduling priority for life-sustaining medical trips. (There would be no weekend trips, same as now.)
  - **Fares**
    - Current regional paratransit fare, \$5.50 one-way
  - **Transfer Points**
    - Fairfield Transportation Center
    - Direct drop-off/pickup at destination for life-sustaining medical trips only
  - **Trip Reservations**
    - Riders would continue to call SolTrans for local SolTrans ADA paratransit trip; passengers would be expected to make their own local travel arrangements with FAST to arrange an ADA trip in Fairfield, based on the shuttle arrival.
    - This would not apply to life-sustaining medical trips, as these would be transported directly to/from the destination by SolTrans ADA Paratransit after dropping-off at the transfer point.
  - **Waiting with the Passenger-**
    - Dropping-off at the transfer point would be the new standard; the driver will not wait with the passenger for transfers to local paratransit.
    - Exceptions to this would be passengers who cannot be left unattended, in which case, the ADA paratransit vehicle may wait for the connecting operator or the passenger may choose to travel with an attendant
  - **Personal Care Attendants**
    - Passenger may choose to travel with a PCA; the PCA fare is free on ADA paratransit
3. **Intercity Taxi Scrip Program** –Provides flexible, personalized travel alternative at a premium fare within Solano County, at a reduced fare. Program is proposed to be wheelchair accessible in the near future. This program provides another alternative for life sustaining medical trips.

**Connections to Contra Costa County**

1. **Feeder Service to Regional Fixed-Route Alternative** - Provide timed transfers from local ADA paratransit service to Routes 78 and 80, for regular, all-day, Monday through Saturday connections to BART and Contra Costa cities along the 80 and 680 corridors.
  - **Fares**
    - Current local paratransit fare of \$3.00 one-way, plus current regional Solano Express fixed-route fare for Seniors/Persons with Disabilities/Medicare of \$2.50, for total of \$5.50 (same regional paratransit fare).

- **Transfer Points**
  - Vallejo Transit Center
  - El Cerrito Del Norte BART Station
  - Walnut Creek BART station (or alternatively, Pleasant Hill BART station, Sun Valley Mall or Diablo Valley College)
- **Trip Reservations**
  - Riders would continue to call SolTrans for local SolTrans ADA paratransit trips; passengers would be expected to make their own local travel arrangements with East Bay Paratransit to arrange a paratransit trip to/from Route 80 at El Cerrito del Norte, or with County Connection to arrange a local paratransit trip to or from Route 78 at any of the Contra Costa stops.
- **Waiting with the Passenger**
  - Dropping-off at the transfer point would be the new standard; if the passenger requires additional assistance to travel to/from fixed route or accompaniment to wait for the transfer, a personal care attendant is recommended
- **Personal Care Attendants**
  - Passengers may choose to travel with a PCA if navigating the fixed-route system on their own is not feasible; their fare is free on ADA paratransit service and reduced on SolTrans fixed route.

### Connections to Napa County

1. **Feeder Service to Regional Fixed Route** - Provide timed transfers from SolTrans ADA Paratransit to the Napa Route 11 for regular, all-day, Monday through Saturday connections to/from Napa.
  - **Fares** - Current local paratransit fare of \$3.00 one-way, plus NapaVine fare
  - **Transfer** - Transfers proposed to NapaVine Route 11 (or NapaVine Paratransit, depending on feedback from connecting agency) at Sereno Transit Center

All other service aspects will be handled in the same way as Contra Costa transfers

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### Outreach Plan for Regional Paratransit Policy

In addition to the following meetings, staff would post materials on the demand response buses, social media, and would distribute information electronically to partner agencies during the month of December.

Meeting	Date
Meetings with neighboring transit operators: <ul style="list-style-type: none"> <li>- East Bay Paratransit</li> <li>- FAST</li> <li>- CCCTA</li> <li>- NapaVine</li> <li>- Westcat</li> <li>- Whistle Stop</li> </ul>	Fall/Winter 2014
STA Paratransit Coordinating Council	November 20, 2014
SolTrans TAC	December 8, 2014
SolTrans PAC	December 9, 2014
Solano Express Intercity Transit Consortium	December 16, 2014
Final Proposal Brought Back to the Board for Approval	January 2015
Implementation of New ADA Regional Policy	March 2015

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DATE: December 9, 2014  
 TO: Solano Express Intercity Transit Consortium  
 FROM: Drew Hart, Associate Planner  
 RE: Summary of Funding Opportunities

**Discussion:**

Below is a list of funding opportunities that will be available to STA member agencies during the next few months, broken up by Federal, State, and Local. Attachment A provides further details for each program.

	FUND SOURCE	AMOUNT AVAILABLE	APPLICATION DEADLINE
<b>Regional<sup>1</sup></b>			
1.	Carl Moyer Memorial Air Quality Standards Attainment Program (for San Francisco Bay Area)	Approximately <b>\$15 million</b>	Due On First-Come, First Served Basis
2.	Carl Moyer Off-Road Equipment Replacement Program (for Sacramento Metropolitan Area)	Approximately <b>\$10 million</b>	Due On First-Come, First-Served Basis
3.	Air Resources Board (ARB) Clean Vehicle Rebate Project (CVRP)	Up to <b>\$2,500</b> rebate per light-duty vehicle	Due On First-Come, First-Served Basis (Waitlist)
4.	Bay Area Air Quality Management District (BAAQMD) Hybrid Electric Vehicle Purchase Vouchers (HVIP) (for fleets)	Approximately <b>\$10,000 to \$45,000</b> per qualified request	Due On First-Come, First-Served Basis
5.	TDA Article 3	<b>\$67,000</b>	No Deadline
<b>State</b>			
6.	Highway Safety Improvement Program (HSIP): High Risk Rural Roads	<b>~\$100-150 million</b> federally	Announcement Anticipated Spring 2015
<b>Federal</b>			

\*New funding opportunity

**Fiscal Impact:**

None.

**Recommendation:**

Informational.

Attachment:

- A. Detailed Funding Opportunities Summary

<sup>1</sup> Local includes programs administered by the Solano Transportation Authority and regionally in the San Francisco Bay Area and greater Sacramento.

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The following funding opportunities will be available to the STA member agencies during the next few months. Please distribute this information to the appropriate departments in your jurisdiction.

Fund Source	Application Contact**	Application Deadline/Eligibility	Amount Available	Program Description	Proposed Submittal	Additional Information
<b>Regional Grants<sup>1</sup></b>						
<b>Carl Moyer Memorial Air Quality Standards Attainment Program (for San Francisco Bay Area)</b>	Anthony Fournier Bay Area Air Quality Management District (415) 749-4961 <a href="mailto:afournier@baaqmd.gov">afournier@baaqmd.gov</a>	Ongoing. Application Due On First-Come, First Served Basis  Eligible Project Sponsors: private non-profit organizations, state or local governmental authorities, and operators of public transportation services	Approx. <b>\$15 million</b>	Carl Moyer Memorial Air Quality Standards Attainment Program provides incentive grants for cleaner-than-required engines, equipment, and other sources of pollution providing early or extra emission reductions.	N/A	Eligible Projects: cleaner on-road, off-road, marine, locomotive and stationary agricultural pump engines <a href="http://www.baaqmd.gov/Divisions/Strategic-Incentives/Funding-Sources/Carl-Moyer-Program.aspx">http://www.baaqmd.gov/Divisions/Strategic-Incentives/Funding-Sources/Carl-Moyer-Program.aspx</a>
<b>Carl Moyer Off-Road Equipment Replacement Program (for Sacramento Metropolitan Area)</b>	Gary A. Bailey Sacramento Metropolitan Air Quality Management District (916) 874-4893 <a href="mailto:gbailey@airquality.org">gbailey@airquality.org</a>	Ongoing. Application Due On First-Come, First-Served Basis  Eligible Project Sponsors: private non-profit organizations, state or local governmental authorities, and operators of public transportation services	Approx. <b>\$10 million</b> , maximum per project is \$4.5 million	The Off-Road Equipment Replacement Program (ERP), an extension of the Carl Moyer Program, provides grant funds to replace Tier 0, high-polluting off-road equipment with the cleanest available emission level equipment.	N/A	Eligible Projects: install particulate traps, replace older heavy-duty engines with newer and cleaner engines and add a particulate trap, purchase new vehicles or equipment, replace heavy-duty equipment with electric equipment, install electric idling-reduction equipment <a href="http://www.airquality.org/mobile/moyrerp/index.shtml">http://www.airquality.org/mobile/moyrerp/index.shtml</a>

<sup>1</sup> Regional includes opportunities and programs administered by the Solano Transportation Authority and/or regionally in the San Francisco Bay Area and greater Sacramento

Fund Source	Application Contact**	Application Deadline/Eligibility	Amount Available	Program Description	Proposed Submittal	Additional Information
<b>Regional Grants</b>						
<b>Air Resources Board (ARB) Clean Vehicle Rebate Project (CVRP)*</b>	Graciela Garcia ARB (916) 323-2781 <a href="mailto:ggarcia@arb.ca.gov">ggarcia@arb.ca.gov</a>	Application Due On First-Come, First-Served Basis (Currently applicants are put on waitlist)	Up to <b>\$5,000</b> rebate per light-duty vehicle	The Zero-Emission and Plug-In Hybrid Light-Duty Vehicle (Clean Vehicle) Rebate Project is intended to encourage and accelerate zero-emission vehicle deployment and technology innovation. Rebates for clean vehicles are now available through the Clean Vehicle Rebate Project (CVRP) funded by the Air Resources Board (ARB) and implemented statewide by the California Center for Sustainable Energy (CCSE).	N/A	Eligible Projects: Purchase or lease of zero-emission and plug-in hybrid light-duty vehicles <a href="http://www.arb.ca.gov/msprog/agip/cvrp.htm">http://www.arb.ca.gov/msprog/agip/cvrp.htm</a>
<b>Bay Area Air Quality Management District (BAAQMD) Hybrid Electric Vehicle Purchase Vouchers (HVIP)*</b>	To learn more about how to request a voucher, contact: <b>888-457-HVIP</b> <a href="mailto:info@californiahvip.org">info@californiahvip.org</a>	Application Due On First-Come, First-Served Basis	Approx. <b>\$10,000 to \$45,000</b> per qualified request	The California Air Resources Board (ARB) created the HVIP to speed the market introduction of low-emitting hybrid trucks and buses. It does this by reducing the cost of these vehicles for truck and bus fleets that purchase and operate the vehicles in the State of California. The HVIP voucher is intended to reduce about half the incremental costs of purchasing hybrid heavy-duty trucks and buses.	N/A	Eligible Projects: Purchase of low-emission hybrid trucks and buses <a href="http://www.californiahvip.org/">http://www.californiahvip.org/</a>
<b>TDA Article 3</b>	Cheryl Chi Metropolitan Planning Commission (510) 817-5939 <a href="mailto:cchi@mtc.ca.gov">cchi@mtc.ca.gov</a>	No deadline	Approx. <b>\$67,000</b>	The Metropolitan Transportation Commission (MTC) administers TDA Article funding for each of the nine Bay Area counties with assistance from each of the county Congestion Management Agencies (e.g. STA). The STA works with the Pedestrian Advisory Committee (PAC), Bicycle Advisory Committee (BAC) and staff from the seven cities and the County to prioritize projects for potential TDA Article 3 funding.	N/A	

\*New Funding Opportunity

\*\*STA staff, Drew Hart, can be contacted directly at (707) 399-3214 or [ahart@sta-snci.com](mailto:ahart@sta-snci.com) for assistance with finding more information about any of the funding opportunities listed in this report

Fund Source	Application Contact**	Application Deadline/Eligibility	Amount Available	Program Description	Proposed Submittal	Additional Information
<b>State Grants</b>						
<b>Highway Safety Improvement Program (HSIP): High Risk Rural Roads*</b>	Slyvia Fung California Department of Transportation (Caltrans) (510) 286-5226 <a href="mailto:slyvia.fung@dot.ca.gov">slyvia.fung@dot.ca.gov</a>	Announcement Anticipated Spring of 2015	Approx. <b>\$100-150 M</b> nationally	The purpose of this program is to achieve a significant reduction in traffic fatalities and serious injuries on all public roads, including non-State-owned public roads and roads on tribal land.  <a href="http://www.dot.ca.gov/hq/LocalPrograms/hsip.htm">http://www.dot.ca.gov/hq/LocalPrograms/hsip.htm</a>	N/A	Eligible Projects: HSIP funds are eligible for work on any public road or publicly owned bicycle/pedestrian pathway or trail, or on tribal lands for general use of tribal members, that corrects or improves the safety for its users.