

C/CAG

CITY/COUNTY ASSOCIATION OF GOVERNMENTS OF SAN MATEO COUNTY

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1:15 p.m., Thursday, July 21, 2011
San Mateo County Transit District Office¹
1250 San Carlos Avenue, Second Floor Auditorium
San Carlos, California

TECHNICAL ADVISORY COMMITTEE (TAC) AGENDA

- | | | |
|---|---------------|--------------|
| 1. Public comment on items not on the Agenda (presentations are customarily limited to 3 minutes). | Porter/Hurley | No materials |
| 2. Issues from the last C/CAG Board meeting (June 2011): <ul style="list-style-type: none">• Approved – C/CAG FY 2011/12 Program Budget and Fees• Approved – 3-Yr contract with San Mateo County for \$1,075,839 for support of the County Water Pollution Prevention Program in FYs 2011 -2014• Approved – contract extension with EOA for up to \$1,130,148 for support of the County WPPP in FY 2011/12• Approved –Up to \$2M in Transportation Enhancement (TE) funds for the construction of a Complete Street on ECR/Mission St.• Approved – Development of the Smart Corridor – Southern segment project (Whipple to SC County Line)• Approved – Funding agreement with BAAQMD for \$987,566.04 for the TFCA (40%) Program for FY 2011/12 | Hoang | No materials |
| 3. Approval of the Minutes from May 19, 2011 | Hoang | Page 1-2 |
| 4. Review and recommend approval of the funding recommendations for the provision of Congestion Relief Program shuttle services from July 1, 2011 to June 30, 2012 (Information) | Madalena | Page 3-39 |
| 5. Review and provide comment on the MTC "OneBayArea Grant- Cycle 2 STP/CMAQ Funding" proposal (Action) | Higaki | Page 40-65 |
| 6. Review and recommend approval of the Draft 2011 Congestion Management Program (CMP) and Preliminary Monitoring Results (Action) | Hoang | Handouts |
| 7. Update on schedule for Southbound I-280 on-ramp metering between Daly City and San Bruno (Information) | Wong | No materials |
| 8. Regional Project and Funding Information (Information) | Higaki | Page 66-87 |
| 9. Executive Director Report | Napier | No materials |
| 10. Member Reports | All | |

¹ For public transit access use SamTrans Bus lines 390, 391, 292, KX, PX, RX, or take CalTrain to the San Carlos Station and walk two blocks up San Carlos Avenue. Driving directions: From Route 101 take the Holly Street (west) exit. Two blocks past El Camino Real go left on Walnut. The entrance to the parking lot is at the end of the block on the left, immediately before the ramp that goes under the building. Enter the parking lot by driving between the buildings and making a left into the elevated lot. Follow the signs up to the levels for public parking.

2011 TAC Roster and Attendance							
No.	Member	Agency	Jan	Feb	Mar	Apr	May
1	Jim Porter (Co-Chair)	San Mateo County Engineering	x	x		x	
2	Joseph Hurley (Co-Chair)	SMCTA / PCJPB / Caltrain	x	x	x	x	x
3	Randy Breault	Brisbane Engineering	x	x	x	x	x
4	Syed Murtuza	Burlingame Engineering	x	x	x	x	x
5	Bill Meeker	Burlingame Planning			x		
6	Lee Taubeneck	Caltrans	x				x
7	Sandy Wong	C/CAG	x	x	x	x	x
8	Robert Ovardia	Daly City Engineering	x	x	x		
9	Tatum Mothershead	Daly City Planning	x	x	x	x	
10	Ray Towne	Foster City Engineering	x	x	x	x	x
11	Mo Sharma	Half Moon Bay		x		x	x
12	Chip Taylor	Menlo Park Engineering	x	x	x	x	
13	Ron Popp	Millbrae Engineering	x		x	x	x
14	Van Ocampo	Pacifica Engineering	x	x			x
15	Peter Vorametsanti	Redwood City Engineering	x	x	x	x	x
16	Klara Fabry	San Bruno Engineering	x	x	x	x	
17	Larry Patterson	San Mateo Engineering	x	x		x	x
19	Steve Monowitz	San Mateo County Planning		x			
20	Dennis Chuck	So. San Francisco Engineering	x	x	x	x	x
21	Kenneth Folan	MTC					

**TECHNICAL ADVISORY COMMITTEE (TAC)
FOR THE
CONGESTION MANAGEMENT PROGRAM (CMP)**

**May 19, 2011
MINUTES**

The meeting of the Technical Advisory Committee (TAC) was held in the SamTrans Offices, 1250 San Carlos Avenue, San Carlos, 4th Floor Dining Room. Co-chair Hurley called the meeting to order at 1:15 p.m. on Thursday, May 19, 2011.

TAC members attending the meeting are listed on the Roster and Attendance on the preceding page. Others attending the meeting were: John Hoang – C/CAG; Jean Higaki – C/CAG; Richard Napier – C/CAG; Jim Bigelow – C/CAG CMEQ; Rene Baile – Menlo Park

1. Public comment on items not on the agenda.

None.

2. Issues from the last C/CAG and CMEQ meetings.

As indicated on the Agenda.

3. Approval of the Minutes from April 21, 2011.

Approved.

4. Presentation on the Willow Road/University Avenue Traffic Operations Study

John Hoang presented results from the Study consisting of existing and near-term traffic conditions and recommended near-term operational improvements including signal timing, intersection modifications, and system-wide improvements to address pedestrian and bicyclist's safety. The TAC supported the proposed projects.

5. Initial draft, assumptions, and input on the C/CAG FY 2011-12 Program Budget and Fees

Richard Napier, C/CAG Executive Director, provided highlights of the FY 2011/12 budget and fees indicating that the Member Assessments, which are highly leveraged, would remain the same as last fiscal year. The TAC recommended approval of the proposed budget and fees.

6. Discussion on the process to use VTA Travel Demand Forecasting Model in San Mateo County

Sandy Wong, C/CAG Deputy Director, provided an update to the process of transitioning to the VTA Travel Demand Model.

Discussions and comments were as follows:

- It was requested that results from the Dowling report be made available to the TAC. *(Wong provided to TAC on 5/20/11)*

- There were concerns that peripheral areas at the edge of the model (e.g., Daly City or Brisbane) may not be accurate enough
- It was suggested that the VTA model for use in San Mateo County be referred to as the “C/CAG Model”
- It was recommended that contact information for the three “pre-qualified” model consultants be provided to the TAC (and all cities).
- This new “C/CAG Model” is more of a countywide model and not applicable to city level which requires more zones
- It is proposed that potential developers interested in using the C/CAG Model would submit requests through the cities and would utilize one of the three preselected consultants. Cities may impose a fee to developers for use of the model. C/CAG staff will follow-up and check with VTA to see whether developers would be able to have direct access to the model without going through the cities.
- For future model work, cities can utilize any of the three prequalified consultants, work directly with VTA
- It was suggested that C/CAG set up rules and parameters for model access and usage.

7. Regional Project and Funding Information

Jean Higaki presented information pertaining to funding, project delivery, and regional policies affecting local agencies.

Member Taubeneck, provided an update of Caltrans’ Transportation Planning division’s recommended process and guidelines for development of project study reports.

8. Executive Director Report

Richard Napier, Executive Director, thanked all cities and the County for supporting the reauthorization of C/CAG. Staff is pursuing construction cost for the Smart Corridor third segment (southern part of the County between Whipple Ave. and the Santa Clara County line).

9. Member Reports

Member Murtuza mentioned that BCDC is in the process of completing revisions to the Bay Plan.

End of Meeting.

C/CAG AGENDA REPORT

Date: July 21, 2011

To: Congestion Management Program Technical Advisory Committee (TAC)

From: Tom Madalena

Subject: Review and recommend approval of the funding recommendations for the provision of Congestion Relief Program shuttle services from July 1, 2011 through June 30, 2012

(For further information or questions contact Tom Madalena at 599-1460)

RECOMMENDATION

That the Congestion Management Program TAC review and recommend approval of the funding recommendations for the provision of Congestion Relief Program shuttle services from July 1, 2011 through June 30, 2012.

FISCAL IMPACT

The total additional funding obligated through the extensions will not exceed \$660,982 in order to continue services through June 30, 2012.

SOURCE OF FUNDS

Funding to support the shuttle programs will be derived from the Congestion Relief Plan adopted by C/CAG and included in the Fiscal Year (FY) 11/12 budget. The San Mateo County Transportation Authority (TA) is providing matching funds of up to \$300,000.

BACKGROUND/DISCUSSION

The C/CAG Shuttle Program was developed out of the Congestion Relief Plan. In connection with the Congestion Management Program, individual cities do not have to prepare deficiency plans on a biannual basis, instead C/CAG took on the responsibility by setting up the Congestion Relief Plan. One of the measures in the Congestion Relief Plan is the local shuttle program. The objective of the Congestion Relief Plan is to absolve cities from the responsibility of preparing a deficiency plan.

C/CAG issued a Call for Projects for the Shuttle Program on May 6th and applications were due on May 30th. There are eight jurisdictions with shuttles applications and all are for the continuation of existing shuttle services. There were two shuttle routes from last year that did not reapply. Millbrae decided not to continue and Daly City decided not to implement shuttle service.

A Shuttle Review Committee comprised of staff from SamTrans, San Mateo County Transportation Authority and C/CAG was convened and has recommended the shuttles be funded at the amounts listed in the table below. The Shuttle Review Committee also recommended working on developing new policy for the program that would encourage marketing to help improve the performance of the shuttles. Staff is anticipating partnering with the San Mateo County Transportation Authority (TA) on the development of a joint call for projects or partnership between the C/CAG and TA shuttle programs. The TA is on a two year funding cycle and the next funding cycle for their program begins in fiscal year 2012/2013. Staff intends on working with the TA over the course of fiscal year 2011/2012 to work on the implementation of a joint call for projects for the 2012/2013 and 2013/2014 fiscal years.

Funding Recommendation for FY 2011/2012

City	Requested Funding for FY 11/12	FY 10/11 Grant Amount	Funding Recommendation for FY 11/12
Brisbane / Daly City	\$99,050	\$94,012	\$99,050
Brisbane Crocker Park	\$15,000	NA	\$15,000
Burlingame	\$58,215	\$52,313	\$58,215
East Palo Alto	\$127,965	\$151,325	\$127,965
Foster City	\$65,080	\$53,434	\$65,080
Menlo Park	\$107,937	\$105,267	\$107,937
Redwood City	\$67,735	\$63,000	\$67,735
South San Francisco	\$120,000	\$120,000	\$120,000
Total	\$660,982	\$639,351	\$660,982

C/CAG's budget for Local Service Programs for FY 11/12 is \$500,000 plus \$300,000 in matching funds from the San Mateo County Transportation Authority.

Please see the table below to view the operating cost per passenger for each of the shuttles. The C/CAG benchmark for the operating cost per passenger as a performance standard is \$6.00 per passenger for fixed route shuttles and \$15.00 per passenger for door-to-door shuttles, based on standards developed in 2005. Adjusting the benchmark standards by utilizing the Consumer Price Index (CPI) for inflation brings them to \$6.91 and \$17.27 in 2011 dollars.

C/CAG Shuttle Monitoring

* (April 2010 through March 2011)

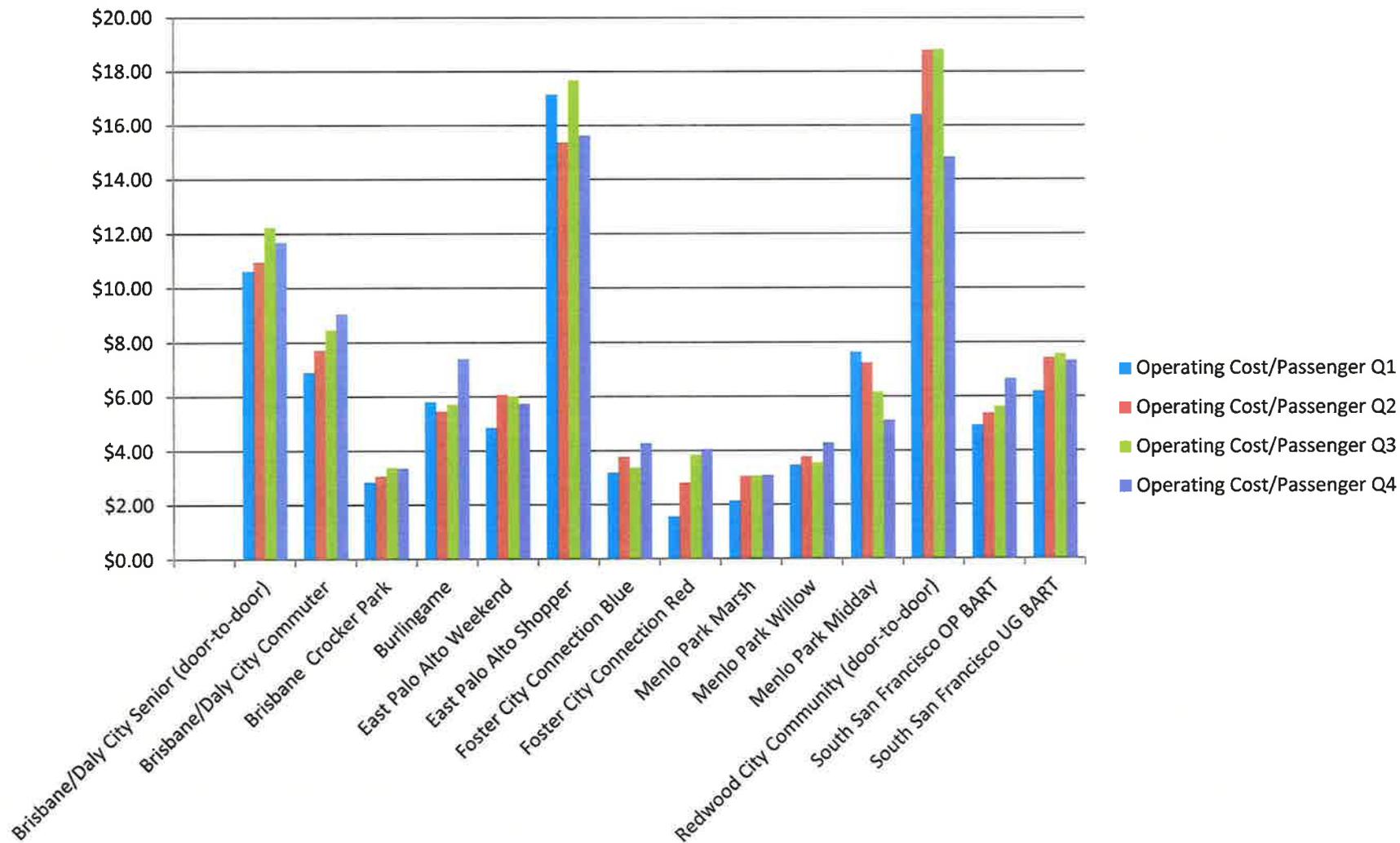
** (April 2009 through March 2010)

Shuttle	Operating Cost/Passenger 2010/2011 *	Operating Cost/Passenger 2009/2010 **
Brisbane/Daly City Senior (door-to-door)	\$11.28	\$11.38
Brisbane/Daly City Commuter	\$7.36	\$8.66
Brisbane Crocker Park	\$3.21	\$3.46
Burlingame	\$8.93	\$7.53
East Palo Alto Weekend	\$4.85	\$5.19
East Palo Alto Shopper	\$12.26	\$13.04
East Palo Alto Weekday	\$3.02	\$2.43 (Q1-Q3)
Foster City Connection Blue	\$4.29	\$4.32
Foster City Connection Red	\$2.92	\$4.04
Menlo Park Marsh	\$4.85	\$3.68
Menlo Park Willow	\$3.96	\$4.31
Menlo Park Midday	\$5.80	\$4.49
Redwood City Community (door-to-door)	\$13.17	\$17.63
South San Francisco OP BART	\$7.70	\$6.35
South San Francisco UG BART	\$9.73	\$8.43

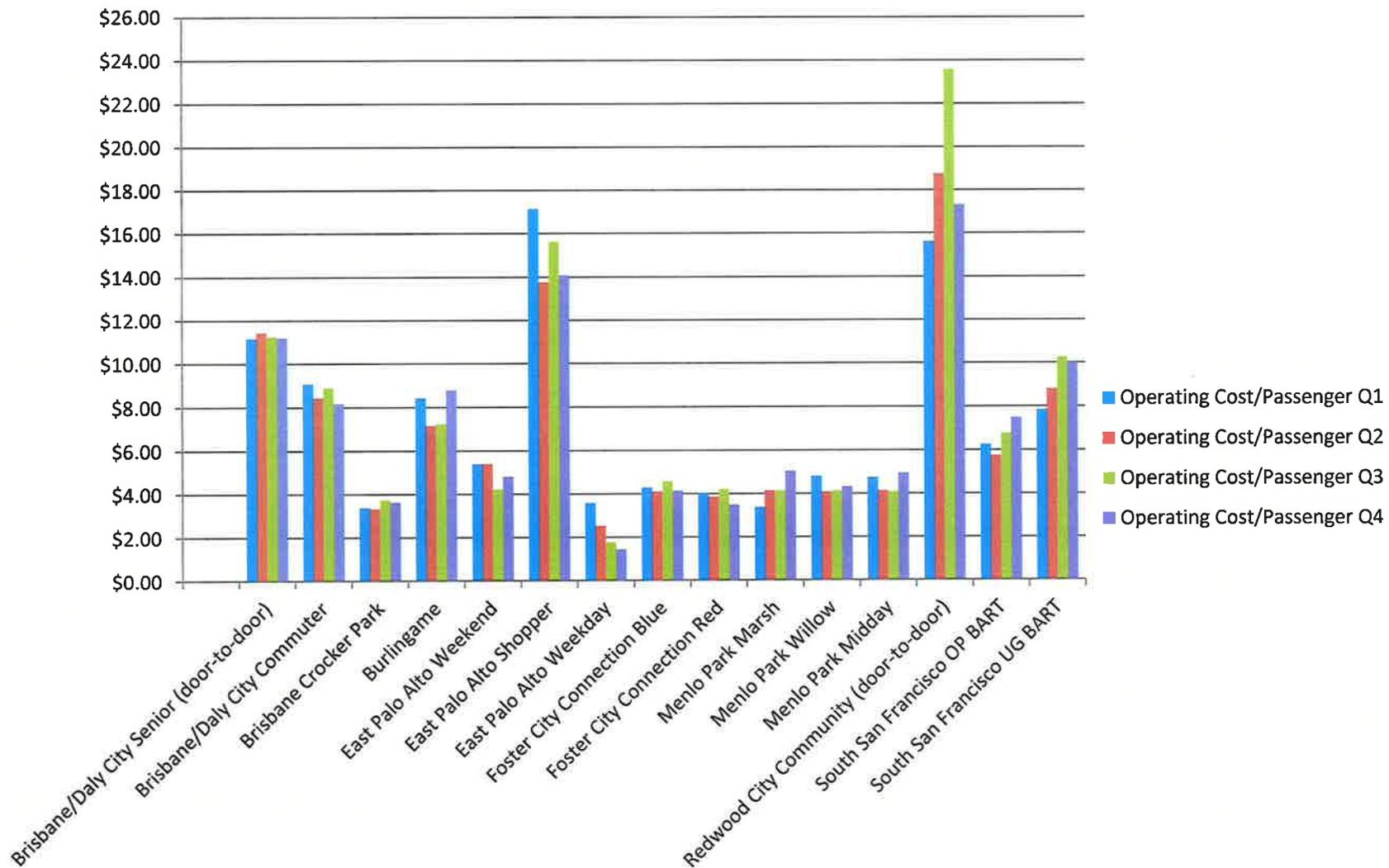
ATTACHMENTS

- Shuttle Performance FY 08/09
- Shuttle Performance FY 09/10
- Shuttle Performance FY 10/11
- Excerpts from 8 Shuttle Program applications

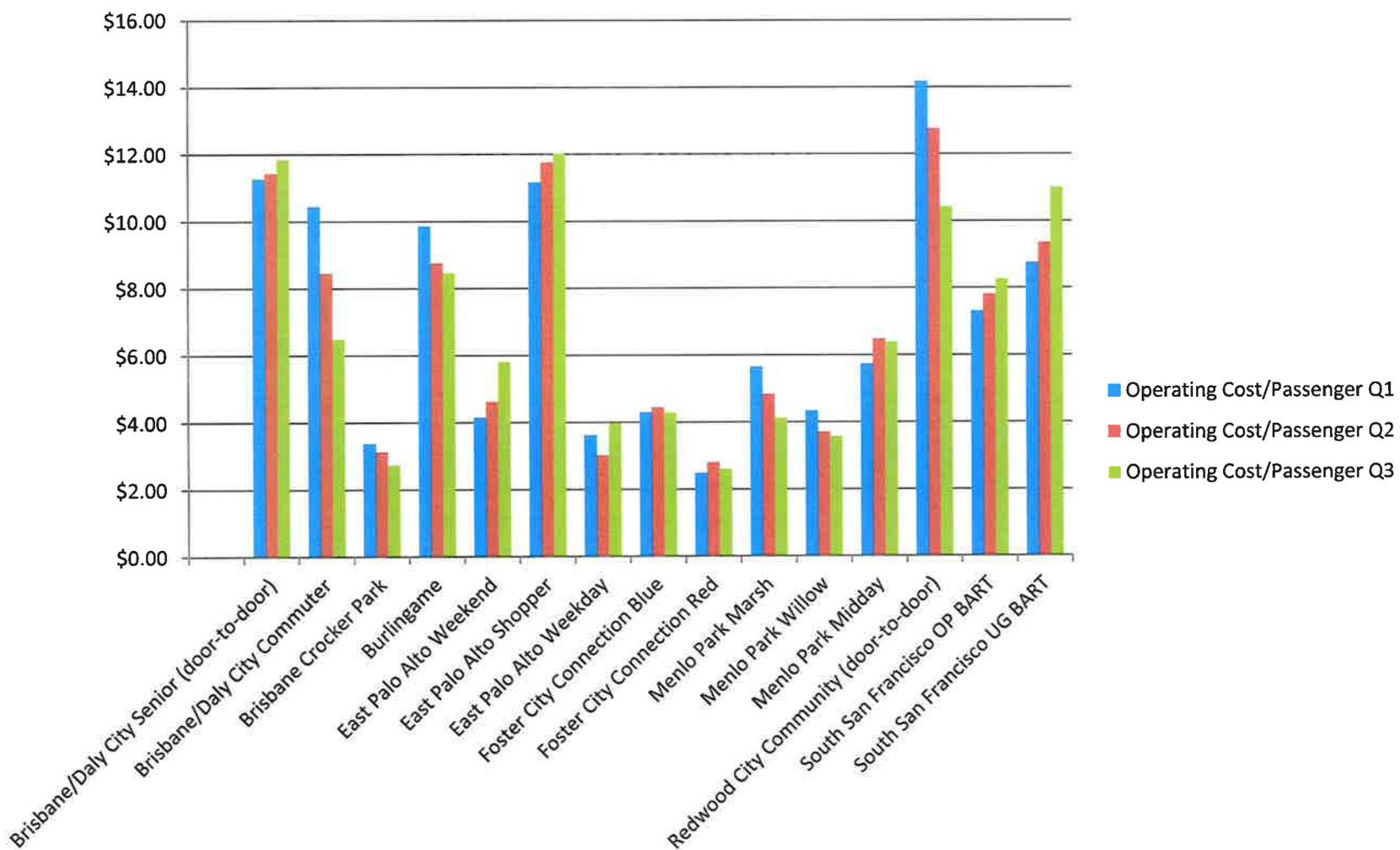
Shuttle Performance Fiscal Year 2008/2009



Shuttle Performance Fiscal Year 2009/2010



Shuttle Performance Fiscal Year 2010/2011



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Local Transportation Services Shuttle Program Fiscal Year 2011/2012

Jurisdiction or shuttle route location: *Brisbane – Daly City*

Amount of funding requested: *\$99,050 funding for estimated \$198,100 annual service expense.*

Amount and source of matching funds:

	C/CAG	SMCTA	Total Cost	% of Total
Bayshore/Brisbane Commuter Caltrain	\$50,246	\$50,246	\$100,491	50.73%
Senior Shuttle	\$48,804	\$48,804	\$97,608	49.27%
Total	\$99,050	\$99,050	\$198,100	100.00%
% of Total	50.00%	50.00%	100.00%	

Contact person: Maria Saguisag-Sid – Brisbane
(415) 508-2115
msaguisag@ci.brisbane.ca.us

Joseph Curran – Daly City
(650) 991-8126
jcurran@dalycity.org

Paul Lee – SamTrans – For Technical issues – Senior
(650) 508-6433
leep@samtrans.com

Michael Stevenson – Alliance – For Technical issues – Commuter
(650) 588-8170
mike@commute.org

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APPLICATIONS TO RE-FUND EXISTING PROJECTS

- Bayshore/Brisbane Senior Shuttle

A. Service Performance (maximum of 50 points)

Provide the following data for the past 12 months of service based on the definitions provided. A Microsoft Excel Quarterly Report Form template is attached for providing the information for the calculations for questions 1 through 3.

1. Operating cost per passenger for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs by total passengers. This includes contract costs (if applicable), maintenance, insurance, fuel and administrative costs to the service. Operating costs and passenger data should be provided separately for each route.

The Bayshore/Brisbane Commuter Caltrain Shuttle operated at an average cost per passenger of \$7.36.

The Bayshore/Brisbane Senior Shuttle operated at an average cost per passenger of \$11.28.

2. Operating cost per revenue hour for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs (as defined above) by the total number of vehicle service hours (defined as time when the vehicle is actually in passenger service). Operating cost per revenue hour measures service efficiency. The data should be provided separately for each route.

The Bayshore/Brisbane Commuter Caltrain Shuttle operated at a cost per revenue hour of \$66.77.

The Bayshore/Brisbane Senior Shuttle operated at a cost per revenue hour of \$66.77.

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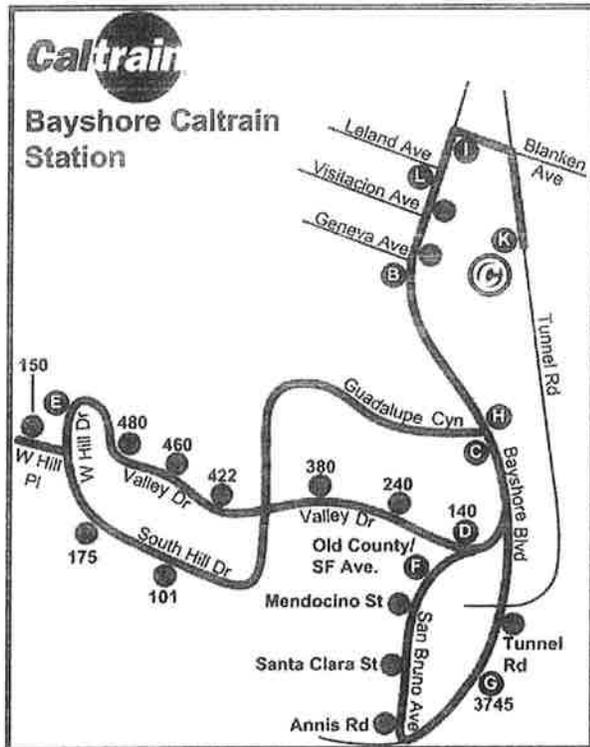
3. Passengers per revenue hour for prior 12 months (up to 20 points).
 - a. Passengers per revenue hour is calculated by dividing the total number of passengers by the total number of vehicle service hours. Passengers per revenue hour should be calculated for each route.

The Bayshore/Brisbane Commuter Caltrain Shuttle transported an average 9.1 passengers per service hour.

The Bayshore/Brisbane Senior Shuttle transported an average 5.9 passengers per service hour.

B. Service Plan (up to 50 points)

1. Describe how the service was delivered for the prior 12 months and any proposed changes for the new funding period, including:
 - a. Service area (show routes, if applicable, and destinations served)

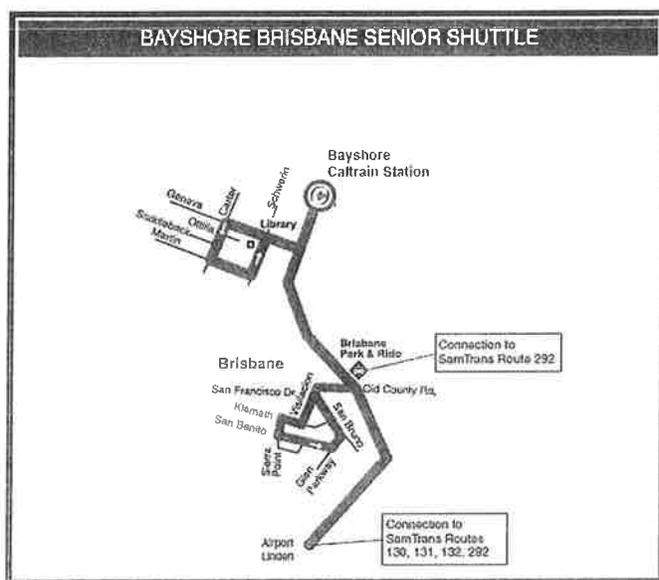


The Bayshore/Brisbane Commuter Caltrain shuttle serves eastern Daly City as well as Brisbane en route to the Bayshore Caltrain Station. There are no immediate plans to change the route or service area. The service is enhanced with the interlining of the Brisbane/Crocker Park BART shuttle transporting residents and employees to the Bayshore Caltrain Station in the afternoon hours between 2:45 and 7:15 PM, providing eleven additional connection opportunities. As a result of these interlined services, the span of service hours to this Caltrain station is increased providing a more effective combined operation for the user.

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The Bayshore/Brisbane Senior shuttle serves eastern Daly City as well as Brisbane. The Bayshore/Brisbane Senior shuttle operates three midday trips along its flex route during the weekday providing service approximately every two hours between the hours of 9:55a and 3:54p. On Monday and Friday the shuttle may be booked to the Serramonte Mall or any stop along the way. On Tuesday and Thursday the shuttle may be booked to the Tanforan Mall or any stop along the way.

There are no immediate plans to change the route or service area. The Bayshore/Brisbane Senior shuttle evolved as a transportation solution after the 34 SamTrans line was eliminated from the area in late 2004. For this reason, it is now a vital link to the transit dependent population served.

b. Does the shuttle serve a Caltrain station?

The Bayshore/Brisbane Commuter Caltrain Shuttle serves the Bayshore Caltrain Station.

The Bayshore/Brisbane Senior shuttle serves the Bayshore Caltrain Station.

c. Schedule (days, times, frequency)

The Bayshore/Brisbane Commuter Caltrain shuttle operates 5:52a – 9:04a and 4:45p – 7:07p, providing seven daily weekday trips on hourly headways. The service is enhanced with the interlining of the Brisbane/Crocker Park BART shuttle transporting residents and employees to the Bayshore Caltrain Station in the afternoon hours between 2:45 and 7:15 PM, providing 11 additional connection opportunities.

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Local Transportation Services Shuttle Program Fiscal Year 2011/2012

Jurisdiction or shuttle route location:

Peninsula Traffic Congestion Relief Alliance – Brisbane Crocker Park BART/Caltrain Shuttle.

Amount of funding requested:

\$15,000 funding for estimated \$269,535 annual service expense.

Amount and source of matching funds:

	Employers	SamTrans	SMCTA	C/CAG	Total Cost	% of Total
Brisbane Crocker Park	\$89,331	\$90,000	\$75,204	\$15,000	\$269,535	100.00%
Total	\$89,331	\$90,000	\$75,204	\$15,000	\$269,535	100.00%
% of Total	33.14%	33.39%	27.90%	5.57%	100.00%	

Contact person: ***Michael Stevenson – Shuttle Program Manager***
– Peninsula Traffic Congestion Relief Alliance

Phone: ***(650) 588-8170***

Email: ***mike@commute.org***

This is a new grant for an existing service. At this time, the only purpose of this grant request is to assist with a potentially substantial funding shortfall due to possible fuel surcharges. The contracted fuel surcharge trigger is an average \$2.90/gallon. The vendor's expense is now \$3.80/gallon and they can no longer delay surcharge implementation. We have assumed a 6% fuel surcharge which equates to approximately an average \$4.25/gallon fuel expense or a little over \$15,000 in surcharges.

As a condition of previous C/CAG support of the Alliance accepting financial responsibility for this service in FY 04-05, the Alliance was asked to implement a shuttle pass program to encourage employer participation, while still providing an access mechanism for non-employer participating users. The shuttle pass program has been in place since that time.

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*Should other funding sources increase or fuel surcharges come in at less than anticipated levels, those adjustments will be reflected in **reduced C/CAG reimbursement requests**.*

APPLICATIONS TO FUND EXISTING PROJECTS

A. Service Performance (maximum of 50 points)

Provide the following data for the past 12 months of service based on the definitions provided. A Microsoft Excel Quarterly Report Form template is attached for providing the information for the calculations for questions 1 through 3.

1. Operating cost per passenger for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs by total passengers. This includes contract costs (if applicable), maintenance, insurance, fuel and administrative costs to the service. Operating costs and passenger data should be provided separately for each route.

The Alliance – Brisbane Crocker Park BART/Caltrain Employer Shuttle operated at an average cost per passenger of \$3.21 in the period April 2010 – March 2011.

2. Operating cost per revenue hour for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs (as defined above) by the total number of vehicle service hours (defined as time when the vehicle is actually in passenger service). Operating cost per revenue hour measures service efficiency. The data should be provided separately for each route.

The Alliance – Brisbane Crocker Park BART/Caltrain Employer Shuttle operated at a cost per revenue hour of \$51.27 in the period April 2010 – March 2011.

3. Passengers per revenue hour for prior 12 months (up to 20 points).
 - a. Passengers per revenue hour is calculated by dividing the total number of passengers by the total number of vehicle service hours. Passengers per revenue hour should be calculated for each route.

The Alliance – Brisbane Crocker Park BART/Caltrain Employer Shuttle transported an average 16.0 passengers per service hour in the period April 2010 – March 2011.

Service Plan (up to 50 points)

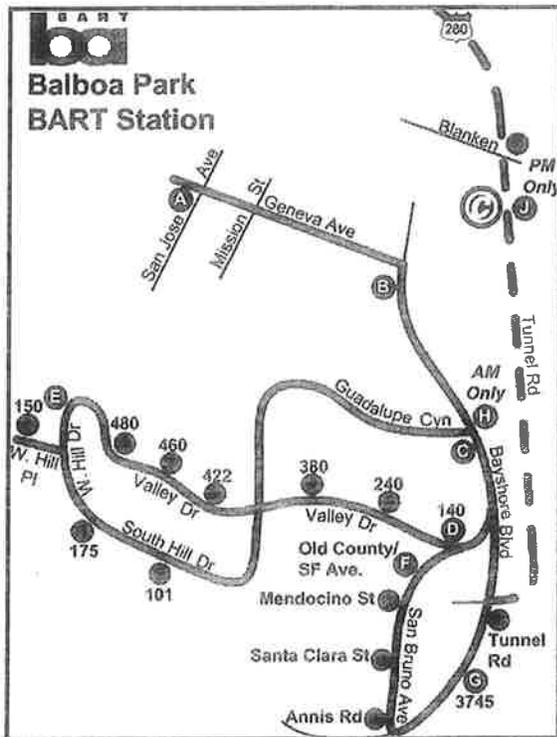
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1. Describe how the service was delivered for the prior 12 months and any proposed changes for the new funding period, including:

a. Service area (show routes, if applicable, and destinations served)



Brisbane Crocker Park BART/Caltrain

The Crocker Park route connects the Balboa Park BART station and the Bayshore Caltrain station (PM only) with the contributing Crocker Industrial Park area employers in Brisbane utilizing three 30-passenger vehicles. The service then transports residents to transit in the counter-commute direction. The service is timed to serve shifts at participating companies.

By servicing the Bayshore Caltrain station in the afternoon en route to the BART station expands the service window of the Bayshore Commuter Caltrain shuttle.

b. Does the shuttle serve a Caltrain station?

The Alliance – Brisbane Crocker Park BART/Caltrain Shuttle route serves the Bayshore Caltrain Station in the afternoon to enhance the limited Bayshore Commuter Caltrain schedule.

c. Schedule (days, times, frequency)

The Alliance – Brisbane Crocker Park BART/Caltrain service currently operates Monday through Friday, from 5:45a – 9:35a and 2:45p – 7:30p with 22 - daily trips on 10-30 minute average headways.

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d. Marketing (advertising, signage, schedules, etc.)

The Alliance, through its outreach efforts, produces and distributes flyers that provide shuttle route and schedule information. These flyers are distributed directly to the employer for their employees and other potential riders, on the shuttle bus, on the Alliance's website, www.commute.org, and mirrored on Caltrain's and Samtrans' websites: Caltrain.com, Samtrans.com.

The Alliance marketing also includes agency decals on the shuttles that include the name of the route, the Alliance's contact information for customer service issues, and the funding agency logos. In essence, the shuttles themselves are rolling advertising billboards. All fixed route stops are identified with a shuttle sign that includes a route name and Alliance contact phone number.

The Alliance outreach staff also provides presentations about the shuttle service program directly to riders through pre-arranged meetings with the employers.

e. Service provider

The operator of the services is Parking Company of America Management, LLC. PCAM provides three 30-passenger, ADA accessible shuttles that meet CARB emissions for a transit agency operated vehicle.

f. Administration and oversight

Vendor supervisors and Alliance staff monitor the drivers ensuring consistent quality of service. The Alliance is the point of contact for the ridership and receives feedback regarding the service and distributes feedback as necessary.

g. Methods to monitor performance and service quality (performance data, complaints/complements, surveys)

The vendor is responsible for providing ridership statistics on a regular basis. From this data, ridership, cost per passenger, riders/service hour and other operating statistics can be calculated. Riders are surveyed annually by the Alliance and SamTrans/Caltrain to obtain a variety of rider information. The Alliance Shuttle Line can also answer service questions and collect any feedback, which is distributed accordingly. Vendor supervisors and Alliance staff monitor the drivers ensuring consistent quality of service. This is done with on route supervision as well as remotely via the vehicle tracking system.

h. Projected ridership, service hours, and service miles for funding period (including

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Local Transportation Services Shuttle Program FY 2011/2012

Jurisdiction or shuttle route location: *City of Burlingame – North Burlingame Shuttle*

Amount of funding requested: *\$58,215 funding for estimated \$116,430 annual service expense. This request includes annual service rate increase and potential fuel surcharges.*

Amount and source of matching funds:

	Employers/City	C/CAG	Total Cost
North Burlingame	\$58,215	\$58,215	\$116,430
% of Total	50.0%	50.0%	100.0%

Employer contributions: 50%

- Sisters of Mercy of the Americas: 25.0%*
- Mills-Peninsula Health Services: 25.0%*

Contact person: **Jane Gomery – Engineering Department**

Phone: **(650) 558-7240**

Email: JGomery@burlingame.org

Reporting Responsibility

Contact person: **Michael Stevenson – Shuttle Program Manager**

– Peninsula Traffic Congestion Relief Alliance

Phone: **(650) 588-8170**

Email: mike@commute.org

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APPLICATIONS TO RE-FUND EXISTING PROJECTS

A. Service Performance (maximum of 50 points)

Provide the following data for the past 12 months of service based on the definitions provided. A Microsoft Excel Quarterly Report Form template is attached for providing the information for the calculations for questions 1 through 3.

1. Operating cost per passenger for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs by total passengers. This includes contract costs (if applicable), maintenance, insurance, fuel and administrative costs to the service. Operating costs and passenger data should be provided separately for each route.

The North Burlingame Shuttle's cost per passenger expense was \$8.93.

2. Operating cost per revenue hour for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs (as defined above) by the total number of vehicle service hours (defined as time when the vehicle is actually in passenger service). Operating cost per revenue hour measures service efficiency. The data should be provided separately for each route.

The North Burlingame Shuttle's operating cost per revenue hour was \$57.02.

3. Passengers per revenue hour for prior 12 months (up to 20 points).
 - a. Passengers per revenue hour is calculated by dividing the total number of passengers by the total number of vehicle service hours. Passengers per revenue hour should be calculated for each route.

The North Burlingame Shuttle's passengers per revenue hour were 6.4.

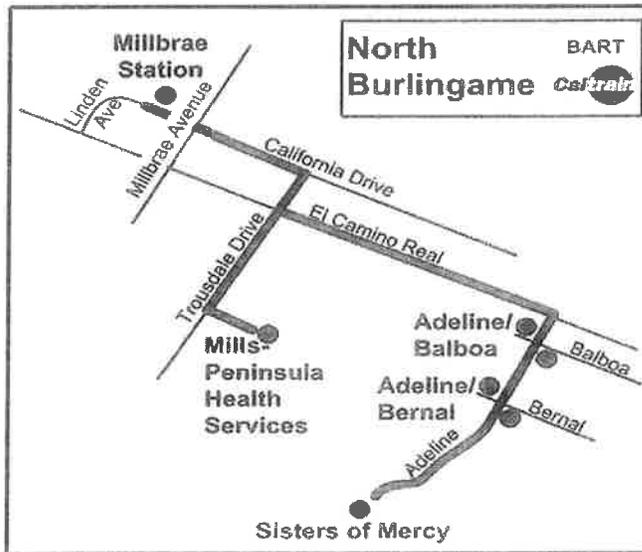
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B. Service Plan (up to 50 points)

1. Describe how the service was delivered for the prior 12 months and any proposed changes for the new funding period, including:
 - a. Service area (show routes, if applicable, and destinations served)



The North Burlingame Shuttle operates between the Millbrae Intermodal BART & Caltrain Station, Mills-Peninsula Medical Center, Sisters of Mercy of the Americas and also serves the residential area of the Easton-Burlingame neighborhood during commute hours, Monday through Friday. Commuters, residents and students utilize this service.

- b. Does the shuttle serve a Caltrain station?

The North Burlingame Shuttle serves the Millbrae Intermodal BART & Caltrain Station.

- c. Schedule (days, times, frequency)

Service was revised on May 1, 2011 by moving the pick up location at the Millbrae Intermodal Station from the east side to the west side. Also, the pick up location at the hospital was moved to the new building. The 24-passenger, ADA accessible shuttle, currently operates seven-daily service hours from 6:13a – 9:48a and 3:10p – 6:25p with 16-daily trips on approximately 30 minute headways.

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d. Marketing (advertising, signage, schedules, etc.)

The Alliance, through its outreach efforts, produces and distributes flyers and schedules that provide shuttle route and schedule information. These flyers are distributed directly to the employer for their employees and other potential riders, on the shuttle bus, on the Alliance's website (Commute.org) and mirrored on Caltrain's (Caltrain.com) and the city's (Burlingame.org) websites.

The Alliance marketing also includes Alliance decals on the shuttle that include the name of the shuttle, the Alliance's contact information for customer service issues, and the funding agency logos.

The Alliance outreach staff also provides presentations about the shuttle service program directly to riders through pre-arranged meetings with the employer. All stops are identified with a shuttle sign.

e. Service provider

The operator of this service is Parking Company of America Management, LLC and the service is managed by the Peninsula Traffic Congestion Relief Alliance. PCAM provides a 24-passenger, ADA accessible shuttle that meets CARB emissions for a transit agency operated vehicle.

f. Administration and oversight

Vendor supervisors and Alliance staff monitor the drivers ensuring consistent quality of service. The Alliance is the point of contact for the ridership and receives feedback regarding the service and distributes as necessary.

g. Methods to monitor performance and service quality (performance data, complaints/complements, surveys)

The vendor is responsible for providing ridership statistics on a regular basis. From this data, ridership, cost per passenger, riders/service hour and other operating statistics can be calculated. Riders are surveyed annually by the Alliance and SamTrans to obtain a variety of rider information. The Alliance Shuttle Line can also answer service questions and collect any feedback, which is distributed accordingly. Vendor supervisors and Alliance staff monitor the drivers ensuring consistent quality of service. This is done with on route supervision as well as remotely via the vehicle tracking system.

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CCAG Local Transportation Program FY 2011/2012

Jurisdiction or shuttle route location: City of East Palo Alto
Amount of funding requested by source: CCAG funding \$127,965

Mobility Program	Funding Source			Total
	CCAG	TA Shuttle	Measure A	
Weekend Community Shuttle	\$26,133		\$26,133	\$52,266
Shopper Shuttle	\$10,471	\$62,828	\$10,471	\$83,770
Weekday/Late Community Shuttle	\$91,361		\$91,361	\$182,722
Total	\$127,965	\$62,828	\$127,965	\$318,758

Contact person: Salani Wendt
Phone: (650) 853-3119
Email: swendt@cityofepa.org

EPA Mobility Program summary:

1. **Weekend Community Shuttle.** The weekend Community Shuttle is a free community service designed to link East Palo Alto neighborhoods with the Palo Alto Transit Center. The funding request is being increased to \$52,266.
2. **Shopper Shuttle.** Provides East Palo residents with shopping opportunities to destinations in Mountain View, Palo Alto/ Stanford, and Redwood City.
3. **Weekday/Late Community Shuttle:** East Palo Alto is requesting funding to continue providing vital peak hour community shuttle service that links East Palo Alto neighborhoods with the Palo Alto Transit Center. The hydrogen shuttle ended service in December 2009. C/CAG provided sufficient funding to continue service using a traditional fueled vehicle until June 30, 2010. This is an increased funding request to fund the 2nd shuttle in addition to the morning shuttle and allow for continued Weekday Community Shuttle service. The Weekday Community Shuttle continues its service to midnight providing service to East Palo Alto residents getting off work late at night from the Caltrain Station to East Palo Alto.

Attached are shuttle route maps for each shuttle route that is being considered for funding.

East Palo Alto Existing Services: Supplemental Information

See Attachment A.

B. Service Plan:

1. Describe how the service was delivered for the prior 12 months and any proposed changes for the new funding period, including:

- a. Service area (show routes, if applicable, and destinations served)

See route attachments.

- b. Does the shuttle serve a Caltrain station?

The weekend and weekday community shuttles both serve the Palo Alto Caltrain station.

- c. Schedule (days, times, frequency)

The attached community shuttle brochure includes the complete Community shuttle schedule and the Shopper Shuttle schedule.

- d. Marketing (advertising, signage, schedules, etc.)

There is no change proposed regarding shuttle program marketing. Attached are copies of the East Palo Alto Local Transportation Guide and Shopper Shuttle Schedule.

- e. Service Provider

The current service provider is Parking Company of America (PCA) LLC. The existing agreement is scheduled to expire on September 30, 2011. PCA expressed their willingness to continue working with the City and committed not to increase the cost of services for FY 2011-12. On December 14, 2011 the City Council adopted Resolution 4074 authorizing the City Manager to exercise the option of extending the current contract by an amendment to the agreement extending it to September 30, 2012.

- f. Administration and Oversight

The City of East Palo Alto currently directly administers the East Palo Alto Mobility Program.

- g. Methods to monitor performance and service quality (performance data, complaints/complements, surveys)

An annual passenger survey is prepared for the City of East Palo Alto. A GPS tracking system is provided by PCA.

- h. Projected ridership, service hours, and service miles for funding period (including methodology) if different than existing service levels from the prior 12 months?

East Palo Alto previously established a goal for the Community Shuttle for 4,000 passengers monthly. The most recent program improves marketing and signage appears to have had an impact, although the downturn in the economy may also be playing a significant role in the programs documented jump in ridership. Prior 12 month data indicates an average ridership of 4,530 monthly passengers. A shuttle ridership report is attached.

C. Bonus Points

1. Use of clean fuel vehicles?

No

2. Special accommodations to serve transit dependents or other special needs populations such as the elderly or disabled?

The Shopper Shuttle is designed to meeting the shopping and medical needs of seniors in East Palo Alto. The route serves the Senior Center and senior in the City.

3. Provides transportation to vital services that are not otherwise served by transit?

The shopper shuttle serves many shopping and medical institutions not directly served from East Palo Alto neighborhoods.

4. Service results in an increase to fixed route transit ridership?

The EPA community shuttle is meant to provide important connections at the Palo Alto Transit Center, including Caltrain, SamTrans and VTA routes. The service results in most passengers transferring to a fixed route transit service.

5. Service results in a decreased demand for SamTrans Redi-Wheels service?

Many of the seniors participating in the Shopper Shuttle are eligible for Redi-Wheels services. The service allows passengers a viable alternative to the higher cost Redi-Wheels service.

6. Service has private sector financial contribution?

No

7. Partnership with a social service agency?

No

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Local Transportation Services Shuttle Program FY 2011/2012

Jurisdiction or shuttle route location:

City of Foster City – Connections Blue & Red Line Shuttles

Amount of funding requested:

\$65,080 funding for estimated \$235,711 annual service expense. This includes a possible 2% fuel surcharge and promotional materials.

Amount and source of matching funds:

	City	C/CAG	SMCTA	Total Cost	% of Total
Blue Line	\$ 55,626	\$ 30,275	\$24,325	\$ 110,226	46.8%
Red Line	\$ 63,329	\$ 34,805	\$27,350	\$ 125,484	53.2%
Total	\$ 118,955	\$ 65,080	\$51,675	\$ 235,711	100.0%
% of Total	50.5%	27.6%	21.9%	100.0%	

Contact person: Andra Lorenz – Foster City Management Analyst

Phone: (650) 286-3215

Email: alorenz@fostercity.org

Reporting Responsibility

Contact person: Michael Stevenson – Shuttle Program Manager

– Peninsula Traffic Congestion Relief Alliance

Phone: (650) 588-8170

Email: mike@commute.org

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APPLICATIONS TO RE-FUND EXISTING PROJECTS

A. Service Performance (maximum of 50 points)

Provide the following data for the past 12 months of service based on the definitions provided. A Microsoft Excel Quarterly Report Form template is attached for providing the information for the calculations for questions 1 through 3.

1. Operating cost per passenger for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs by total passengers. This includes contract costs (if applicable), maintenance, insurance, fuel and administrative costs to the service. Operating costs and passenger data should be provided separately for each route.

The Foster City Blue Line Shuttle operated at an average cost per passenger of \$4.29.

The Foster City Red Line Shuttle operated at an average cost per passenger of \$2.92.

2. Operating cost per revenue hour for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs (as defined above) by the total number of vehicle service hours (defined as time when the vehicle is actually in passenger service). Operating cost per revenue hour measures service efficiency. The data should be provided separately for each route.

The Foster City Blue Line Shuttle operated at a cost per revenue hour of \$64.60.

The Foster City Red Line Shuttle operated at a cost per revenue hour of \$69.67.

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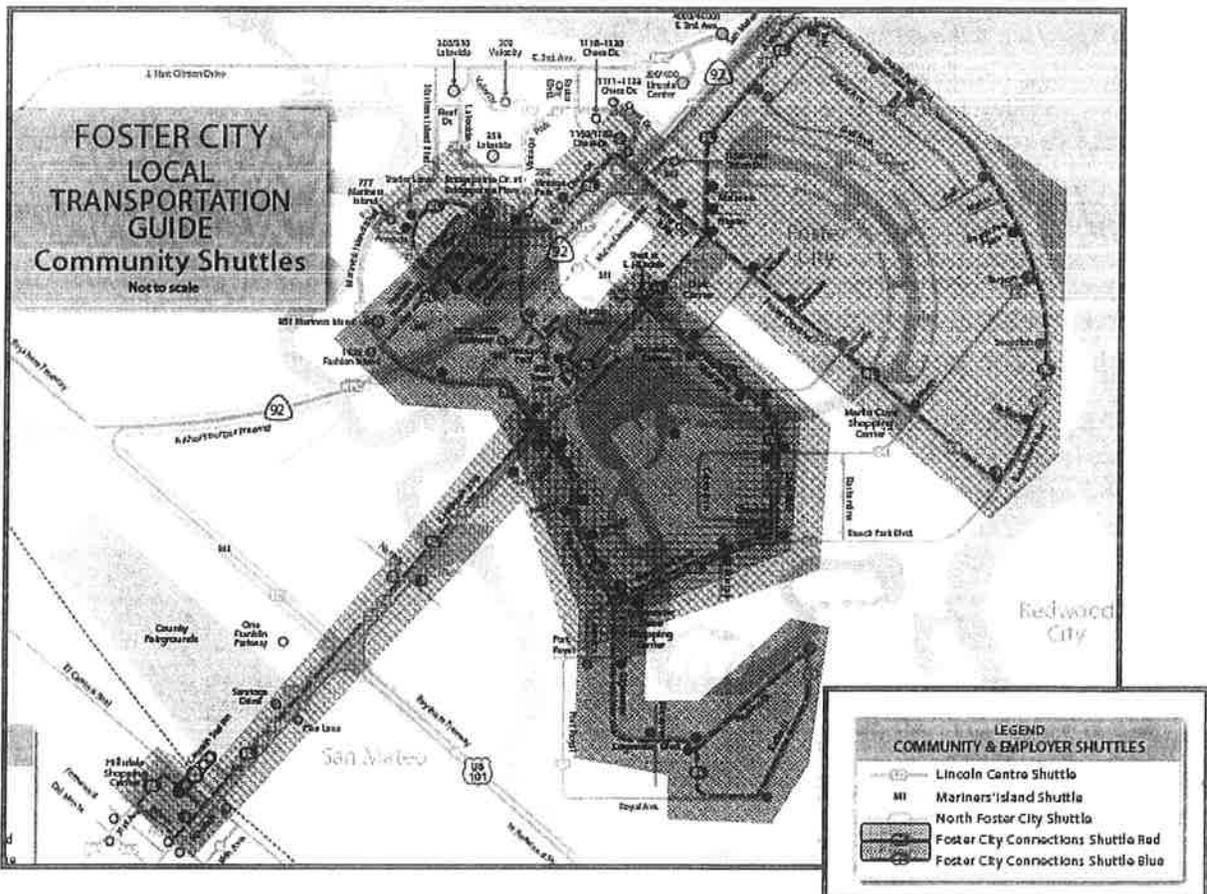
3. Passengers per revenue hour for prior 12 months (up to 20 points).
 - a. Passengers per revenue hour is calculated by dividing the total number of passengers by the total number of vehicle service hours. Passengers per revenue hour should be calculated for each route.

The Foster City Blue Line Shuttle transported an average 15.1 passengers per service hour.

The Foster City Red Line Shuttle transported an average 23.9 passengers per service hour.

B. Service Plan (up to 50 points)

1. Describe how the service was delivered for the prior 12 months and any proposed changes for the new funding period, including:
 - a. Service area (show routes, if applicable, and destinations served)



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The BLUE LINE shuttle provides service between Bridgepointe Shopping Center and Sea Cloud Park with a connection to the Red Line/SamTrans 251 route at the Foster City Recreation Center at 650 Shell Blvd. and at E. Hillsdale Blvd./Edgewater Blvd.

The RED LINE shuttle follows the SamTrans 251 route in the eastbound direction, stopping at the SamTrans bus stops from Hillsdale Shopping Center to Bridgepointe Shopping Center. The service is designed for passengers to utilize either service to get to their destinations. This service is unique in that it enhances the existing hourly SamTrans service by providing scheduled 30-minute headways (251 or Red Line) in the eastbound direction. It connects residents with the Hillsdale Caltrain Station. It also allows riders to continue from Bridgepointe to Hillsdale Shopping Center with the addition of an “express” line.

b. Does the shuttle serve a Caltrain station?

The Red Line serves the Hillsdale Shopping Center with a stop near W. Hillsdale & El Camino Real. The stop is across the street from the Hillsdale Caltrain Station.

c. Schedule (days, times, frequency)

The Blue Line operates Monday through Friday (excluding holidays) between the hours of 9:30a and 3:30p with 30-minute headways.

The Red Line operates Monday through Friday (excluding holidays) between the hours of 9:45a and 5p with 60-minute headways in the eastbound direction. When interlined with the existing SamTrans 251, eastbound service operates on approximately 30-minute headways during most of the midday.

In April 2011, SamTrans made adjustments to a number of their routes including the 251. As a result, the Red Line was adjusted to continue the 30-minute interlined eastbound headways. Also, the express trip was shifted to after the driver’s break in Foster City due to the loss of parking locations in San Mateo. A slight additional timing revision is planned for early FY 11/12 to allow a better rider connection with Caltrain.

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Local Transportation Services Shuttle Program Fiscal Year 2011/2012

Jurisdiction or shuttle route location: *City of Menlo Park*

Amount of funding requested: *\$107,937 to support three shuttle routes as detailed below.*

Route	Estimated Operations Expense Total	Proposed Funding Source Allocation		
		C/CAG	City	PCJPB
Midday Shuttle	156,000	78,000	78,000	0
Marsh Rd Shuttle	134,500	16,812	16,813	100,875
Willow Rd Shuttle	105,000	13,125	13,125	78,750
Total	\$395,500	\$107,937	\$107,938	\$179,625

Contact person: *Debbie Helming*

Phone: *(650) 330-6773*

Email: *dahelming@menlopark.org*

Shuttle project summary:

The Midday Shuttle provides small bus service to the front door of destinations frequented by seniors, such as shopping and medical destinations. Unlike traditional fixed-route service, the bus drops passengers off at the front door of Safeway and Macy's, instead of requiring the passenger to walk to the destination from a bus on a major arterial. While the Midday Shuttle service is open to the general public, it is tailored to meet the needs of seniors. The hourly headways are provided with two buses on weekdays between 9:30 am and 3:30 pm.

The Marsh Road Shuttle connects the Menlo Park Caltrain Station to major employment sites along the Marsh Road corridor with stops at employers along Bohannon, Scott, Jefferson, and Constitution.

The Willow Road Shuttle connects the Menlo Park Caltrain Station to major employment sites including the Veterans Medical Center, Job Train, and employers along O'Brien, Adams Court, and Hamilton Court.

Menlo Park Existing Shuttles: Supplemental Information

A. Service Performance

Shuttle performance indicators for the past 12-months of available data show that the Menlo Park shuttle program is cost-effective as summarized below.

Previous Year: Apr 1, 2010 – Mar 31, 2011	Midday	Marsh	Willow
<i>Operating Data</i>			
Total Operating Cost (Contractor Cost)	\$149,491	\$128,824	\$100,709
Vehicle Service Hours	2,608	1,675	1,757
Passengers	25,759	26,544	25,414
<i>Performance Indicators</i>			
Operating Cost Per Passenger	\$5.80	\$4.85	\$3.96
Operating Cost Per Hour	\$57.33	\$76.89	\$57.32
Passengers Per Revenue Hour	9.9	15.8	14.5

B. Service Plan

Describe how the service was delivered for the prior 12-months and any proposed changes for the new funding period including:

a. Service area

Current route maps are included with this application. There are no plans to alter any of these routes at this time.

b. Does the shuttle serve a Caltrain station?

Yes, all three shuttles serve the Menlo Park Caltrain Station and will continue to do so.

c. Schedule

Current schedules are included with this application. There are no plans to alter any of these schedules at this time.

d. Marketing

The City of Menlo Park has installed signage and information panels for all three shuttles. A 2011/12 route and schedule guide will be published in June 2011 for all of the shuttle routes. The City maintains a shuttle webpage with links to the most current Marsh and Willow Road Shuttle schedules posted on the Joint Powers Board website. A promotional brochure for the Midday Shuttle is regularly updated and distributed to the community; a special bilingual mailer has also been produced to specifically reach out to the residents of the Belle Haven neighborhood.

e. Service provider

The current operator of the shuttle buses is Parking Company of America. There are no plans to change operators during the funding period.

f. Administration and oversight

Debbie Helming, TSM Coordinator, provides the program's administration and oversight.

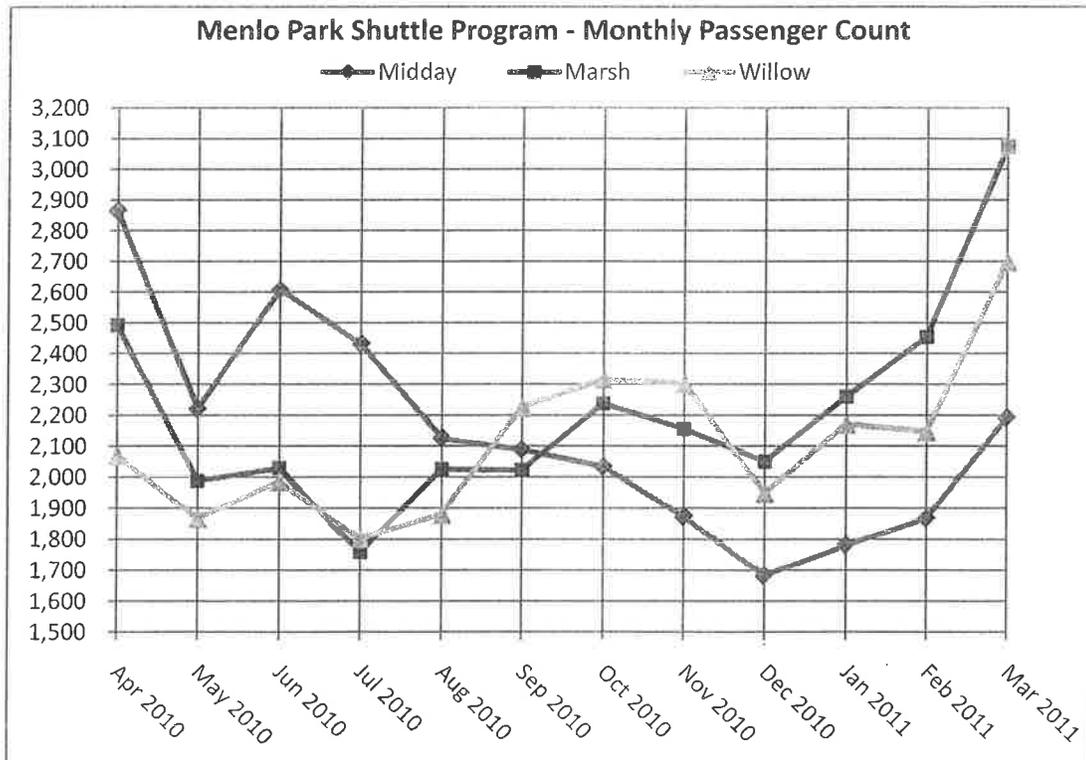
g. Methods to monitor performance and service quality

A "mystery" rider rides the shuttles and reports to the TSM Coordinator. Also, an annual passenger survey has, and will continue to be, conducted for all shuttles.

h. Projected ridership, service hours, and service miles for funding period if different than existing service levels from the prior 12-months.

There are currently no plans to alter the service hours or service miles for the funding period. However, overall ridership numbers are projected to increase over that of the prior 12-months.

The beginning of last year's period saw a drop in ridership across all three shuttle routes. But monthly ridership numbers have been trending upward since December 2010 as seen in the graph below. This appears to be in-line with positive reports of new job growth and the rise of gas prices. These trends are expected to continue as Facebook moves its headquarters to Menlo Park and new jobs are created to support it. Also experts predict the worldwide demand for oil to continue to increase thereby keeping gas prices at historically high levels.



C. Bonus Points

1. Use of clean fuel vehicles?

Not at this time.

2. Special accommodations to serve transit dependents or other special needs populations such as the elderly or disabled?

The Midday Shuttle is a community service route and drivers assist seniors and disabled passengers onboard the bus and assist with packages and mobility aids as necessary. The Marsh Road Shuttle is serving the clients of HOPE Services, a training program for developmentally disabled individuals.

3. Provides transportation to vital services that are not otherwise served by transit?

All three shuttle routes provide transportation to vital services that are not directly served by SamTrans.

4. Service results in an increase to fixed route transit ridership?

The Willow Road and Marsh Road Shuttles provide an important feeder function to and from employer and school locations to the Caltrain Menlo Park Station. The vast majority of riders on these two shuttles also ride Caltrain.

5. Service results in a decreased demand for SamTrans Redi-Wheels service?

Approximately one-half of the Midday Shuttle riders are eligible for Redi-Wheels service. Consequently, it can be surmised that the Midday Shuttle reduces demand for Redi-Wheels service.

6. Service has private sector financial contribution?

No.

7. Partnership with a social service agency

The Midday Shuttle service provides services to Little House, the Onetta Harris Community Center, Menlo Park Senior Center, the Menlo Clinic, Welch Clinic and Stanford Medical, all of which provide social services as part of their mission.

D. Evidence of Coordination

Letters of support from SamTrans and the Alliance immediately follow.

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Local Transportation Services Shuttle Program FY 2011/2012

Jurisdiction or shuttle route location:

City of Redwood City – Redwood City Climate Best Express On-Demand Community Shuttle

Amount of funding requested:

\$67,735 funding for estimated \$136,775 annual service expense for the Climate Best Express Shuttle. The increase in requested funds is due to the annual vendor rate increase and possible fuel surcharges.

Amount and source of matching funds:

	City	C/CAG	Total Cost
Climate Best Express (CBX)	\$69,040	\$67,735	\$136,775
% of Total	50.5%	49.5%	100.0%

Contact person: ***Susan Wheeler – City of Redwood City***

- Management Analyst; Building, Infrastructure & Transportation

Phone: ***(650) 780-7245***

Email: ***swheeler@redwoodcity.org***

Reporting Responsibility

Contact person: ***Michael Stevenson – Peninsula Traffic Congestion Relief Alliance***

- Shuttle Program Manager

Phone: ***(650) 588-8170***

Email: ***mike@commute.org***

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APPLICATIONS TO RE-FUND EXISTING PROJECTS

A. Service Performance (maximum of 50 points)

Provide the following data for the past 12 months of service based on the definitions provided. A Microsoft Excel Quarterly Report Form template is attached for providing the information for the calculations for questions 1 through 3.

1. Operating cost per passenger for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs by total passengers. This includes contract costs (if applicable), maintenance, insurance, fuel and administrative costs to the service. Operating costs and passenger data should be provided separately for each route.

The Redwood City Climate Best Express On Demand Community Shuttle operated at an average cost per passenger of \$13.17 from April 2010 – March 2011.

2. Operating cost per revenue hour for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs (as defined above) by the total number of vehicle service hours (defined as time when the vehicle is actually in passenger service). Operating cost per revenue hour measures service efficiency. The data should be provided separately for each route.

The Redwood City Climate Best Express On Demand Community Shuttle operated at a cost per revenue hour of \$64.88 from April 2010 – March 2011.

3. Passengers per revenue hour for prior 12 months (up to 20 points).
 - a. Passengers per revenue hour is calculated by dividing the total number of passengers by the total number of vehicle service hours. Passengers per revenue hour should be calculated for each route.

The Redwood City Climate Best Express On Demand Community Shuttle transported an average 4.9 passengers per service hour from April 2010 – March 2011.

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The Redwood City CBX Community On Demand Shuttle operates Tuesday – Saturday between the hours of 10a – 5p, providing door-to-door service primarily within the MTC Lifeline defined service area. Because the Mid Point service operates in the same Lifeline service area as the CBX shuttle, the CBX does not service the Mid Point Technology Park for rides destined to Sequoia Station/Caltrain during the hours the Mid Point shuttle is in operation.

d. Marketing (advertising, signage, schedules, etc.)

The Alliance, through its outreach efforts, produces and distributes flyers that provide shuttle route and schedule information. These flyers are distributed directly to various community locations for other potential riders, on the shuttle bus, on the Alliance's website, www.commute.org, and mirrored on the city's website: Redwoodcity.org.

The Alliance marketing also includes agency decals on the shuttles that include the name of the shuttle route, the Alliance's contact information for customer service issues, and the funding agency logos. The Redwood City shuttles both have a unique branding logo that is on the shuttles and will be incorporated into marketing materials in FY 11/12.

The Alliance outreach staff also provides presentations about the shuttle service program directly to riders through pre-arranged meetings with the employer or community organization..

e. Service provider

The operator of the services is Parking Company of America Management, LLC. PCAM provides 24-passenger, ADA accessible shuttles that meet CARB emissions for a transit agency operated vehicle.

f. Administration and oversight

Vendor supervisors and Alliance staff monitor the drivers ensuring consistent quality of service. The Alliance is the point of contact for the ridership and receives feedback regarding the service, and distributes feedback as necessary.

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Local Transportation Services Shuttle Program Fiscal Year 2011/2012

Jurisdiction or shuttle route location:

***Peninsula Traffic Congestion Relief Alliance – South San Francisco Employer BART,
Caltrain & Ferry Shuttle routes of Oyster Point & Utah-Grand.***

Amount of funding requested:

\$120,000 funding for estimated \$828,245 annual service expense.

Amount and source of matching funds:

	Employers	SamTrans	SMCTA	C/CAG	Regional Measure 2	WETA - In Kind Services	Total Cost	% of Total
OP BART	\$75,232	\$97,208		\$60,000			\$234,440	28.31%
UG BART	\$75,232	\$97,208		\$60,000			\$234,440	28.31%
OP Cal	\$52,790		\$71,325				\$124,115	14.99%
UG Cal	\$52,790		\$71,325				\$124,115	14.99%
OP/UG Ferry	\$6,134		\$84,500		\$20,500		\$111,134	13.42%
Total	\$266,179	\$194,416	\$227,150	\$120,000	\$20,500	\$0	\$828,245	100.00%
% of Total	32.14%	23.47%	27.43%	14.49%	2.48%	0.00%	100.00%	

Contact person: ***Michael Stevenson – Shuttle Program Manager
– Peninsula Traffic Congestion Relief Alliance***

Phone: ***(650) 588-8170***

Email: ***mike@commute.org***

C/CAG

CITY/COUNTY ASSOCIATION OF GOVERNMENTS OF SAN MATEO COUNTY

*Atherton • Belmont • Brisbane • Burlingame • Colma • Daly City • East Palo Alto • Foster City • Half Moon Bay • Hillsborough • Menlo Park
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This grant was initially approved in 2004 to provide a financial guarantee, due to a service-funding imbalance. The grant paved the way for the Alliance to take over financial management of the six shuttles operating in South San Francisco from the city. As a condition of this guarantee, the Alliance was asked to implement a shuttle pass program to encourage employer participation, while still providing an access mechanism for non-employer participating users. The shuttle pass program has been in place since that time.

*Should other funding sources increase or fuel surcharges come in at less than anticipated levels, those adjustments will be reflected in **reduced C/CAG reimbursement requests.***

APPLICATIONS TO RE-FUND EXISTING PROJECTS

A. Service Performance (maximum of 50 points)

Provide the following data for the past 12 months of service based on the definitions provided. A Microsoft Excel Quarterly Report Form template is attached for providing the information for the calculations for questions 1 through 3.

1. Operating cost per passenger for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs by total passengers. This includes contract costs (if applicable), maintenance, insurance, fuel and administrative costs to the service. Operating costs and passenger data should be provided separately for each route.

The Alliance – SSF Oyster Point BART Employer Shuttle operated at an average cost per passenger of \$7.70 during the period April 2010 to March 2011.

The Alliance – SSF Utah-Grand BART Employer Shuttle operated at an average cost per passenger of \$9.73 during the period April 2010 to March 2011.

The Alliance – SSF Oyster Point Caltrain Employer Shuttle operated at an average cost per passenger of \$7.03 during the period April 2010 to March 2011.

The Alliance – SSF Utah-Grand Caltrain Employer Shuttle operated at an average cost per passenger of \$10.17 during the period April 2010 to March 2011.

The Alliance – SSF OP/UG BART/Caltrain Employer Shuttles operated at a combined average cost per passenger of \$8.52 during the period April 2010 to March 2011.

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2. Operating cost per revenue hour for prior 12 months (up to 15 points).
 - a. This measure is calculated by dividing all operating costs (as defined above) by the total number of vehicle service hours (defined as time when the vehicle is actually in passenger service). Operating cost per revenue hour measures service efficiency. The data should be provided separately for each route.

The Alliance – SSF OP/UG BART/Caltrain Employer Shuttles operated at a cost per revenue hour of \$65.65 during the period April 2010 to March 2011.

3. Passengers per revenue hour for prior 12 months (up to 20 points).
 - a. Passengers per revenue hour is calculated by dividing the total number of passengers by the total number of vehicle service hours. Passengers per revenue hour should be calculated for each route.

The Alliance – SSF Oyster Point BART Employer Shuttle transported an average 8.7 passengers per service hour during the period April 2010 to March 2011.

The Alliance – SSF Utah-Grand BART Employer Shuttle transported an average 7.0 passengers per service hour during the period April 2010 to March 2011.

The Alliance – SSF Oyster Point Caltrain Employer Shuttle transported an average 9.4 passengers per service hour during the period April 2010 to March 2011.

The Alliance – SSF Utah-Grand Caltrain Employer Shuttle transported an average 6.4 passengers per service hour during the period April 2010 to March 2011.

The Alliance – SSF OP/UG BART/Caltrain Employer Shuttles transported a combined average 7.8 passengers per service hour during the period April 2010 to March 2011.

C/CAG

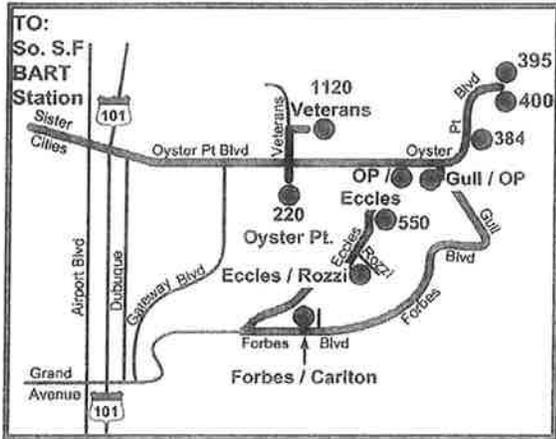
CITY/COUNTY ASSOCIATION OF GOVERNMENTS OF SAN MATEO COUNTY

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B. Service Plan (up to 50 points)

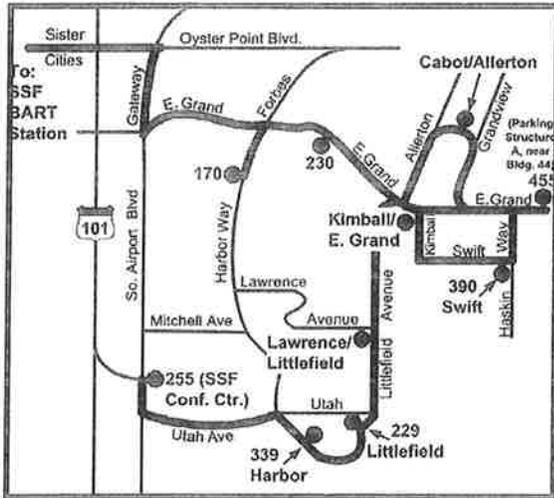
1. Describe how the service was delivered for the prior 12 months and any proposed changes for the new funding period, including:

a. Service area (show routes, if applicable, and destinations served)



Oyster Point BART

The Oyster Point route connects the SSF BART station with the contributing Oyster Point area employers in north-eastern South San Francisco. The service is timed to serve shifts at participating companies. There is also a limited counter-commute option for residents living at the South San Francisco marina near the Oyster Point route.



Utah-Grand BART

The Utah-Grand route connects the SSF BART station with the contributing Utah-Grand area employers in central eastern/southern area of South San Francisco.

C/CAG AGENDA REPORT

Date: July 21, 2011

To: C/CAG CMP Technical Advisory Committee (TAC)

From: Jean Higaki, Transportation System Coordinator

Subject: Review and provide comment on the MTC "OneBayArea Grant- Cycle 2 STP/CMAQ Funding" proposal.

(For further information or questions contact Jean Higaki at 650-599-1462 or Sandy Wong at 650-599-1409)

RECOMMENDATION

That the TAC review and provide comment on the MTC "OneBayArea Grant- Cycle 2 STP/CMAQ Funding" proposal.

FISCAL IMPACT

None.

SOURCE OF FUNDS

N/A

BACKGROUND/DISCUSSION

Approximately every six years, U.S. Congress enacts a surface transportation act which distributes Surface Transportation Program (STP) and Congestion Mitigation and Air Quality (CMAQ) funds to the states who in-turn distributes funds to the regions.

In December 2009, MTC adopted a framework directing how STP and CMAQ funds were to be distributed over the following six years (2010-2015). The framework committed funds to projects and programs under a "CMA Block Grant" in first three years (Cycle 1) and provided policy direction for the second three years (Cycle 2).

On February 11, 2010 C/CAG Board adopted the framework used to program the Cycle 1 STP and CMAQ "CMA Block Grant" programs which included Local Streets and Roads (LS&R), Regional Bike Program (RBP), and Transportation for Livable Communities (TLC). The LS&R framework, included a fund distribution "Scenario B" (attached), if a Federal Stimulus II did not materialize. Scenario B combined Cycle 1 and anticipated Cycle 2 funds for LS&R. This proposal was submitted to MTC on May 14, 2010.

On July 8, 2011 the Metropolitan Transportation Commission (MTC) staff released their

“OneBayArea Grant” proposal to the joint MTC Planning Committee and Association of Bay Area Governments (ABAG) Administrative Committee for public review and discussion.

In the attached proposal, MTC staff introduces an alternative to the current Cycle 2 framework that integrates the region’s federal transportation program with land-use and housing policies by providing incentives for the production of housing with supportive transportation investments.

Some highlights include:

- Use a distribution formula to distribute funds to each county based on population, Regional Housing Needs Allocation (RHNA), and actual housing production.
- Require that at least 70% of the funding in each County be spent on project in the Priority Development Areas (PDA).
- Require local agencies to have at least two out of four “Supportive Local Transportation and Land-Use Policies” to be eligible for funding. See attached MTC/ABAG OneBayArea Grant Proposal Memorandum page 4, “Performance and Accountability.”
- Require local agencies to have a California Department of Housing and Community Development (HCD)-approved housing element, consistent with RHN/SB375 law, to be eligible for funding.

Because the C/CAG approved LS&R Program included an assumption of Cycle 2 funds, C/CAG staff intends to pursue a commitment from MTC to allow for implementation of the “Scenario B” framework.

ATTACHMENTS

1. OneBayArea Grant Proposal Memorandum
2. Scenario B spreadsheet from the C/CAG approved funding allocation for LS&R
3. Letter from C/CAG to MTC commenting on the draft OneBayArea Grant Proposal



TO: MTC Planning Committee /
ABAG Administrative Committee

DATE: July 8, 2011

FR: Deputy Executive Director, Policy, MTC
Executive Director, ABAG

RE: OneBayArea Grant — Cycle 2 STP/CMAQ Funding

Staff recommends the initial release of the OneBayArea Grant proposal as outlined in this memorandum for public review and discussion.

Federal Transportation Funding and Program Policies (Attachment A)

Approximately every six years, U.S. Congress enacts a surface transportation act. The current act (SAFETEA) originally scheduled to expire on September 30, 2009 is still in effect through several legislative extensions. The funding provided to our area through this legislation includes Surface Transportation Program (STP) and Congestion Mitigation and Air Quality (CMAQ) funds.

In December 2009 the Commission adopted an overall framework directing how approximately \$1.4 billion in STP and CMAQ funds were to be allocated over the following six years (2010-2015). The first three years (Cycle 1) of this period were committed to projects and programs and the overall framework provided policy direction for the second three years (Cycle 2).

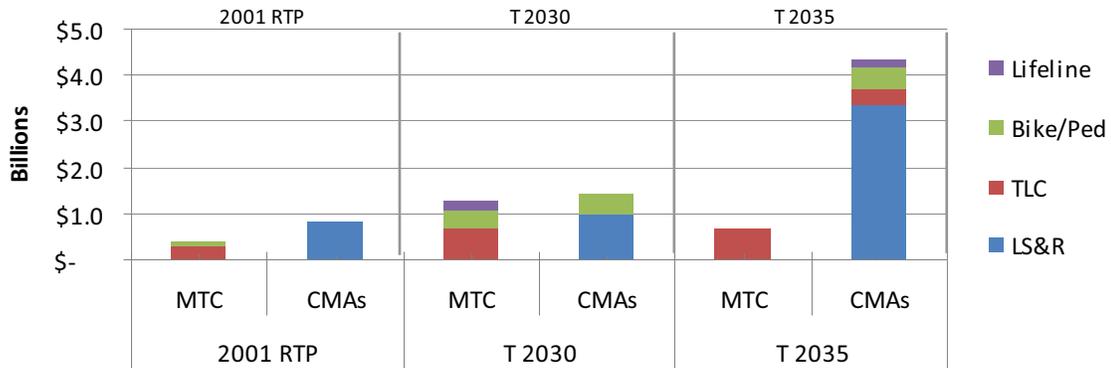
Staff proposes an alternative to the current Cycle 2 framework that better integrates the region's federal transportation program with land-use and housing policies by providing incentives for the production of housing with supportive transportation investments. Attachment A summarizes this framework and proposal for Cycle 2.

OneBayArea Grant Program

As shown in the chart below, over time the county congestion management agencies (CMAs) have been given increased responsibility for project selection for an increasing share of funding coming to the region.

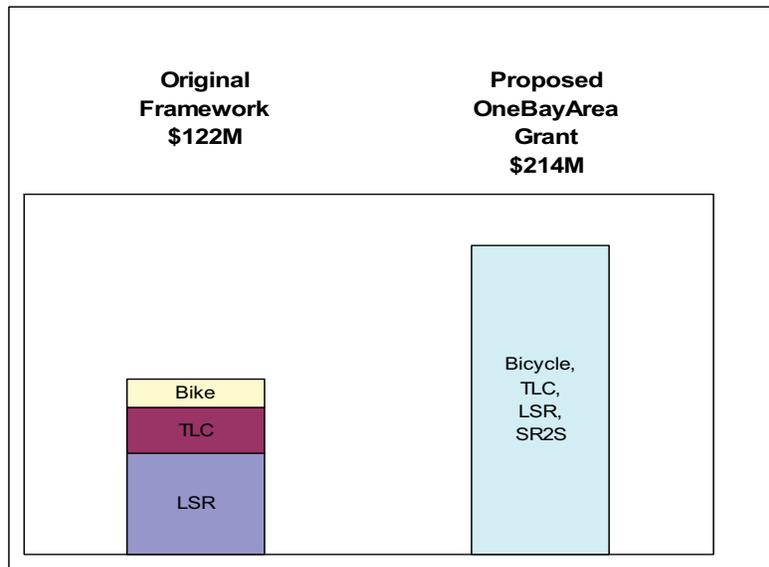
Program and Project Selection Evolves over Past Two Decades

Past Long Range Plan Discretionary Funding Assignments



For Cycle 2, staff proposes to continue this trend by shifting a larger portion of discretionary federal funding to local jurisdictions for taking on a larger share of the region's housing production. Further, additional flexibility is proposed for CMAAs to address their respective transportation needs. Specifically, the proposal would:

- **Shift more Funding to Locally Managed OneBayArea Grant Program:** Dedicate \$214 million or roughly 40% of the Cycle 2 funding program to a new OneBayArea Grant. The funding for the OneBayArea Grant is the result of merging many of the programs in the Cycle 2 framework into a single flexible grant program and is roughly a 70% increase in the funding distributed to the counties as compared to the Cycle 2 framework adopted by the Commission. By comparison, the status quo approach for Cycle 2 would result in 22% going to County Congestion Management Agency (CMA) programs down from 30% in Cycle 1
- **Add Flexibility by Eliminating Program Categories:** The One Bay Grant proposal provides additional flexibility under Cycle 2 by eliminating required program categories and combining funding for TLC, Bicycle, Local Streets and Roads Rehabilitation, and Safe Routes to School. See figure illustrating this change on the following page. Project selection will be limited to a degree by the project eligibility limitations of CMAQ which will make up approximately half of the funds that each county will receive.



- Leverage Outside Funds to Grow Program and Meet More Objectives: Additional opportunities could be sought through other regional programs, other non-federal sources for affordable housing, and other local funds to augment program objectives. As a start, the Air District proposes \$6 million from its Regional Transportation for Clean Air (TFCA) Program. TFCA eligibility considerations will be guiding the use of these funds in the overall program.
- Continue Key Regional Programs: The remaining funding is targeted to continue regional programs such as Regional Operations, Freeway Performance Initiative, and Transit Capital Rehabilitation. Refer to Attachment A-2 for a description of these regional programs.
- Establish a Priority Conservation Area Planning Program: This new \$2 million program element will provide financial incentives for counties with populations under 500,000 for preservation of resource area and farmland, as defined in California Government Code Section 65080.01.

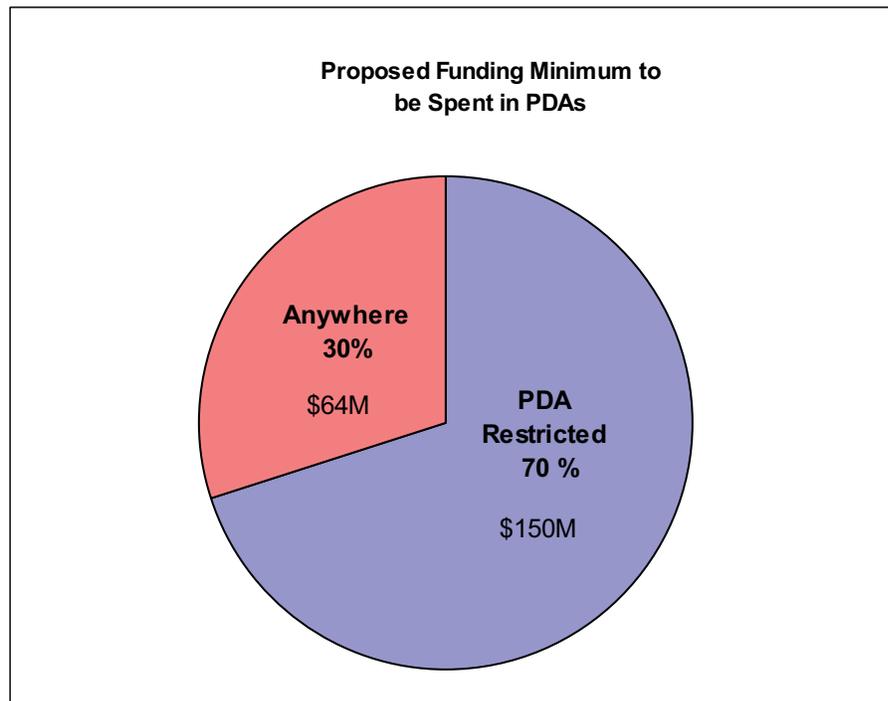
Distribution Formula for the OneBayArea Grant (Attachments B, C, D)

Staff proposes a distribution formula for OneBayArea Grant funding (Attachment B) that includes housing incentives to support the SCS and promote effective transportation investments that support focused development. In order to ease the transition to this new funding approach, staff is also recommending a 50% population share factor in the formula:

1. Formula to Counties: The proposed distribution formula to the counties includes three components: 50% population, 25% Regional Housing Needs Allocation (RHNA) for 2007-2014, and 25% actual housing production. This approach provides incentives for both future housing commitments and actual housing production. The fund distribution will be refined using the new RHNA to be adopted by ABAG next spring along with the SCS. The new RHNA being developed, which covers years 2015-2022, places a greater emphasis on city centered growth. As a result, refinements are likely to result in modest

revisions to the funding distribution consistent with these revised development patterns. The proposed OneBayArea Grant formula also uses actual housing data from 1999-2006, and has been capped such that each jurisdiction receives credit for housing up to its RHNA allocation. Subsequent funding cycles would rely on housing production from ABAG's next housing report to be published in 2013.

2. Priority Development Area (PDA) Minimum: Require that at least 70% of funding be spent on projects in Priority Development Areas (planned, potential and growth opportunity areas). Growth opportunity areas are tentatively considered as PDAs until ABAG completes final PDA designations next fall. See Attachment C for PDA program minimums for each county and Attachment D for a map and a list of the PDAs.



The OneBayArea Grant supports Priority Development Areas while providing flexibility to fund transportation needs in other areas.

Performance and Accountability

As noted at the outset, housing allocation according to RHNA and housing production will be the primary metric for distributing the OneBayArea Grant funding. In addition, staff recommends the following performance and accountability requirements.

1. Supportive Local Transportation and Land-Use Policies: Staff recommends that local agencies be required to have at least two of the following four policies adopted in order to be eligible for grant funds:
 - a) Parking/pricing policies (e.g. cash out, peak pricing, on-street/off street pricing differentials, eliminate parking minimums, unbundled parking) and adopted city and/or countywide employer trip reduction ordinances
 - b) Adopted Community Risk Reduction Plans (CRRP) per CEQA guidelines
 - c) Have affordable housing policies in place or policies that ensure that new development projects do not displace low income housing

- d) Adopted bicycle/pedestrian plan and complete streets policy in general plans pursuant to Complete Streets Act of 2008
2. Approved Housing Element: Also, a HCD-approved housing element consistent with RHNA/SB375 law is a proposed condition for any jurisdiction receiving Cycle 2 OneBayArea grants. This may be met as follows: 1) adoption of a housing element that meets the current RHNA before the new RHNA is adopted, or 2) the adoption of a housing element that meets the new RHNA after its approval early in 2012. Jurisdictions have 18 months after the adoption of the SCS to meet the new RHNA; therefore, compliance is expected and required by September 2014. Any jurisdiction failing to meet either one of these deadlines will not be allowed to receive grant funding. Lastly any jurisdiction without adopted housing elements addressing the new RHNA by September 2014 will be ineligible to receive any funding after Cycle 2 until they have adopted a housing element.

Implementation Issues

Below are issues to be addressed as we further develop the OneBayArea Grant concept:

1. Federal Authorization Uncertainty: We will need to closely monitor development of the new federal surface transportation authorization. New federal programs, their eligibility rules, and how money is distributed could potentially impact the implementation of the OneBayArea Grant Program as proposed.
2. Revenue Estimates: Staff assumes a steady but modest nominal revenue growth rate of 4% annually. Given the mood of Congress to downsize federal programs, these estimates are potentially overly optimistic if there are significant reductions in STP / CMAQ apportionments over the Cycle 2 time period. Staff recommends continuing to move forward with the conservative revenue assumptions and make adjustments later if needed.

Preliminary Timeline and Next Steps

Staff recommends the Committees release the OneBayArea Grant proposal for public review. Staff will seek feedback from stakeholder and technical working groups over the next several months. The preliminary timeline for development and approval of the OneBay Area Grant is shown on the next page.

July – Sept. 2011	<ul style="list-style-type: none"> ▪ The Joint MTC Planning Committee / ABAG Administrative Committee release of OneBay Area Grant proposal for public review ▪ <i>ABAG releases preliminary draft concepts for RHNA methodology</i> ▪ Working Group Discussions of Cycle 2/OneBay Area Grant approach
Fall 2011	<ul style="list-style-type: none"> ▪ Follow-up Committee Presentation of OneBayArea Grant and Cycle 2 approach ▪ <i>ABAG releases draft RHNA methodology</i>
December 2011	<ul style="list-style-type: none"> ▪ <i>Adoption of Cycle 2 approach based on draft RHNA methodology</i> ▪ <i>MTC/ABAG releases draft Preferred SCS</i> ▪ Commission adoption of Cycle 2 funding commitments for MTC Regional Programs
February 2012	<ul style="list-style-type: none"> ▪ <i>MTC/ABAG approves draft preferred SCS</i>
March 2012	<ul style="list-style-type: none"> ▪ Commission adoption of Cycle 2/OneBay Area Grant with Final RHNA
April 2012 – Feb. 2013	<ul style="list-style-type: none"> ▪ CMA Project Selection Process
April 2013	<ul style="list-style-type: none"> ▪ Final SCS adopted

Ann Flemer

Ezra Rapport

Attachments

OneBayArea Grant Proposal

New Act STP / CMAQ Cycle 2 Draft Funding Proposal June 22, 2011

(amounts in millions \$)

Funding Available: Cycle 1: \$466M (after \$54M Carryover) Cycle 2: \$548M Air District: \$6M	Existing Framework				Cycle 2 One Bay Area		Cycle 2 Total
	Cycle 1		Cycle 2 Status Quo		MTC	One Bay Area Grant*	
	MTC	CMA Block Grant	MTC	CMA Grant			
1 Regional Planning *	23		26		5	21	26
2 Regional Operations	84	0	74	0	74	0	74
3 Freeway Performance Initiative (FPI)	51	0	66	0	66	0	66
4 Transit Capital Rehabilitation *	0	0	125	0	125	0	125
5 Local Streets and Roads Rehabilitation*	6	94	7	70	3	74	77
6 Climate Initiatives *	80		40		25	15	40
7 Regional Bicycle Program *	0	20	0	20	0	20	20
8 Transportation for Livable Communities (TLC) *	51	28	64	32	15	85	102
9 Transportation Oriented Development (TOD) Fund	10	0	0	0	2		
10 Priority Conservation Area Planning Pilot							
11 MTC Res 3814 Transit Payback Commitment	6	0	25	0	25	0	25
Total	324	142	426	122	340	214	554
	70%	30%	78%	22%	61%	39%	

Grant Totals:	Cycle 1 Block Grant		Cycle 2 Status Quo		Cycle 2 One Bay Area	
		142	30%	122	22%	214

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* Air District funding of \$6 million adds capacity to support OneBay Area Grant.

1) Regional Planning:

\$21M (\$7M per year) for CMA Planning to be distributed to CMAs through OneBayArea Grant.

4) Transit Capital Rehabilitation:

100% Transit Rehab assigned as Regional Transit Rehabilitation, as Transit is network based and regional

5) Local Streets and Roads Rehabilitation

\$3M for a scaled back PTAP program

6) Climate Initiative:

\$5M for SFGO in Regional. Eastern Solano CMAQ to Solano TA part of OneBayArea Grant.

7) Regional Bicycle Program:

\$20M as CMAQ rather than TE as originally proposed in Framework

8) Transportation for Livable Communities (TLC)

TLC program eliminated - All TLC funds to OneBayArea grant

Attachment A-2: Regional Programs

Regional Planning to support planning activities in the region carried out by the Association of Bay Area Governments (ABAG), the San Francisco Bay Area Conservation and Development commission (BCDC), and MTC. CMAs would access their OneBayArea grant to fund planning activities.

Regional Operations: This program includes Clipper, 511, Incident Management and a scaled-back Pavement Technical Assistance Program (PTAP).

Freeway Performance Initiative This program emphasizes the delivery of ramp metering projects on the State Highway System throughout the Bay Area to gain the most efficiency out of the existing highway network.

Priority Conservation Area Planning: Staff is recommending a new pilot for the development priority conservation area (PCA) plans for counties with populations under 500,000 to ameliorate outward development expansion and maintain their rural character.

Transportation for the Livable Communities (TLC) and the Affordable Transportation Oriented Development (TOD) Housing Fund: The bulk of the TLC Program's funding will shift to the OneBayArea Grant. The remaining funds under MTC's management are proposed to continue station area planning and/or CEQA assistance to PDAs and support additional investments in affordable housing.

Climate Initiatives: The objective of the Climate Initiatives Program launched in Cycle 1 was to make short-term investments that reduce transportation-related emissions and vehicle miles traveled, and encourage the use of cleaner fuels. Through the innovative projects selected and evaluation process, the region is building its knowledge base for the most effective Bay Area strategies for the Sustainable Communities Strategy and next long-range plan. The proposed funding for the Cycle 2 Climate Initiative Program would allow some continuation of these efforts at the regional level and protect a prior commitment to the SFGGo project.

Transit Capital Rehabilitation: The Commission deferred transit rehabilitation needs from Cycle 1 to Cycle 2 in order to allow more immediate delivery of some of the other programs. The program objective, as in the past, is to assist transit operators to fund major fleet replacements, fixed guideway rehabilitation and other high-scoring capital needs that cannot be accommodated within the FTA Transit Capital Priorities program.

MTC Resolution 3814 Transit Payback Commitment: Consistent with the Cycle 2 framework, MTC is proposing to program \$25 million to Lifeline, small operators, and SamTrans right-of-way settlement to partially address a commitment originally envisioned to be met with state spillover funds.

**Attachment B
PROPOSAL**

**OneBayArea Grant Distribution Formula
Cycle 2 (FYs 2013, 2014, 2015)**

County	50%-25%-25% (Pop. RHNA - Housing Production Capped)	Status Quo Grant Program
Alameda	\$43.0	\$25.4
Contra Costa	\$31.9	\$16.6
Marin	\$6.4	\$5.0
Napa	\$4.2	\$2.9
San Francisco	\$25.0	\$11.8
San Mateo	\$17.4	\$11.1
Santa Clara	\$56.1	\$28.1
Solano	\$14.0	\$9.0
Sonoma	\$16.0	\$12.3
Bay Area Total	\$214.0	\$122.1

Difference From Status Quo Grant Program

County	50%-25%-25% (Pop. RHNA - Housing Production Capped)	Status Quo Grant Program
Alameda	\$17.7	-
Contra Costa	\$15.3	-
Marin	\$1.5	-
Napa	\$1.3	-
San Francisco	\$13.2	-
San Mateo	\$6.3	-
Santa Clara	\$28.0	-
Solano	\$5.0	-
Sonoma	\$3.7	-
Bay Area Total	\$91.9	-

% Change From Status Quo Grant Program

County	50%-25%-25% (Pop. RHNA - Housing Production Capped)	Status Quo Grant Program
Alameda	70%	-
Contra Costa	92%	-
Marin	29%	-
Napa	45%	-
San Francisco	112%	-
San Mateo	57%	-
Santa Clara	100%	-
Solano	55%	-
Sonoma	30%	-
Bay Area Total	75%	-

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Notes:

Status quo program based on framework for Cycle 2 adopted by the Commission and continuation of Cycle 1 county block grant policies.

RHNA is based on current 2007-20014 targets

Population data from Department of Finance, US Census 2010

Housing production 1999-2006 is capped at 1999-2006 RHNA thresholds

Attachment C

PROPOSAL

PDA Investments for the OneBayArea Grant

50%-25%-25% (Pop.- RHNA - Actual Housing Production Capped) Distribution

Apportionment Area	County Grant Amount	Allocation Areas	
		PDA 70% Minimum	Anywhere in County
Alameda	\$43.0	\$30.1	\$12.9
Contra Costa	\$31.9	\$22.4	\$9.6
Marin	\$6.4	\$4.5	\$1.9
Napa	\$4.2	\$2.9	\$1.3
San Francisco	\$25.0	\$17.5	\$7.5
San Mateo	\$17.4	\$12.2	\$5.2
Santa Clara	\$56.1	\$39.3	\$16.8
Solano	\$14.0	\$9.8	\$4.2
Sonoma	\$16.0	\$11.2	\$4.8
Regional Total	\$214.0	\$149.8	\$64.2

Attachment D: Priority Development Areas

Alameda County

Jursidiction or Area Name	PDA Status
Alameda	
Naval Air Station	Planned/Potential
<i>Northern Waterfront</i>	<i>Growth Opportunity Area</i>
Albany	
<i>San Pablo Avenue & Solano Avenue</i>	<i>Growth Opportunity Area</i>
Berkeley	
Adeline Street	Potential
Downtown	Planned
San Pablo Avenue	Planned
South Shattuck	Planned
Telegraph Avenue	Potential
University Avenue	Planned
Dublin	
Downtown Specific Plan Area	Planned
Town Center	Planned
Transit Center	Planned
Emeryville	
Mixed-Use Core	Planned
Fremont	
Centerville	Planned
City Center	Planned
Irvington District	Planned
<i>Ardenwood Business Park</i>	<i>Growth Opportunity Area</i>
<i>Fremont Boulevard & Warm Springs Boulevard Corridor</i>	<i>Growth Opportunity Area</i>
<i>Fremont Boulevard Decoto Road Crossing</i>	<i>Growth Opportunity Area</i>
<i>South Fremont/Warm Springs</i>	<i>Growth Opportunity Area</i>
Hayward	
Downtown	Planned
South Hayward BART	Planned
South Hayward BART	Planned
The Cannery	Planned
<i>Carlos Bee Quarry</i>	<i>Growth Opportunity Area</i>
<i>Mission Corridor</i>	<i>Growth Opportunity Area</i>
Livermore	
Downtown	Planned
Vasco Road Station Planning Area	Potential
Newark	
Dumbarton Transit Oriented Development	Potential
Old Town Mixed Use Area	Potential
<i>Cedar Boulevard Transit</i>	<i>Growth Opportunity Area</i>
<i>Civic Center Re-Use Transit</i>	<i>Growth Opportunity Area</i>

Oakland

Coliseum BART Station Area	Planned
Downtown & Jack London Square	Planned
Eastmont Town Center	Planned
Fruitvale & Dimond Areas	Planned
MacArthur Transit Village	Planned
Transit Oriented Development Corridors	Potential
West Oakland	Planned

Pleasanton

Hacienda	Potential
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San Leandro

Bay Fair BART Transit Village	Potential
Downtown Transit Oriented Development	Planned
East 14th Street	Planned

Union City

Intermodal Station District	Planned
<i>Mission Boulevard</i>	<i>Growth Opportunity Area</i>
<i>Old Alvarado</i>	<i>Growth Opportunity Area</i>

Alameda County Unincorporated

<i>Castro Valley BART</i>	<i>Growth Opportunity Area</i>
<i>East 14th Street and Mission Boulevard Mixed Use Corridor</i>	<i>Growth Opportunity Area</i>

Contra Costa County

Jurisdiction or Area Name	PDA Status
Antioch	
Hillcrest eBART Station	Planned
Rivertown Waterfront	Potential
Concord	
Community Reuse Area	Potential
Community Reuse Area	Potential
<i>Downtown BART Station Planning</i>	<i>Growth Opportunity Area</i>
<i>North Concord BART Adjacent</i>	<i>Growth Opportunity Area</i>
<i>West Downtown Planning Area</i>	<i>Growth Opportunity Area</i>
El Cerrito	
San Pablo Avenue Corridor	Planned
Hercules	
Central Hercules	Planned
Waterfront District	Planned
Lafayette	
Downtown	Planned
Martinez	
Downtown	Planned
Moraga	
Moraga Center	Potential
Oakley	
Downtown	Potential
Employment Area	Potential
Potential Planning Area	Potential
Orinda	
Downtown	Potential
Pinole	
Appian Way Corridor	Potential
Old Town	Potential
Pittsburg	
Downtown	Planned
Pittsburg/Bay Point BART Station	Planned
Railroad Avenue eBART Station	Planned
Pleasant Hill	
Buskirk Avenue Corridor	Potential
Diablo Valley College	Potential
Richmond	
Central Richmond	Planned
South Richmond	Planned
<i>23rd Street</i>	<i>Growth Opportunity Area</i>
<i>San Pablo Avenue Corridor</i>	<i>Growth Opportunity Area</i>
San Ramon	
City Center	Planned
North Camino Ramon	Potential

Walnut Creek

Walnut Creek: West Downtown

Planned

Contra Costa County Unincorporated

Contra Costa Centre

Planned

Downtown El Sobrante

Potential

North Richmond

Potential

Pittsburg/Bay Point BART Station

Planned

West Contra Costa Transportation Advisory Committee: San Pablo Avenue
Corridor

Planned/Potential

Marin County

Jursidiction or Area Name	PDA Status
San Rafael	
Civic Center/North Rafael Town Center	Planned
Downtown	Planned
Marin County Unincorporated	
Urbanized 101 Corridor	Potential
San Quentin	Growth Opportunity Area

Napa County

Jursidiction or Area Name	PDA Status
American Canyon	
Highway 29 Corridor	Potential

San Francisco County

Jursidiction or Area Name	PDA Status
San Francisco	
19th Avenue	Potential
Balboa Park	Planned
Bayview/Hunters Point Shipyard/Candlestick Point	Planned
Downtown-Van Ness-Geary	Planned
Eastern Neighborhoods	Planned
Market & Octavia	Planned
Mission Bay	Planned
Mission-San Jose Corridor	Planned
Port of San Francisco	Planned
San Francisco/San Mateo Bi-County Area (with City of Brisbane)	Planned
Transbay Terminal	Planned
Treasure Island	Planned
Citywide	Growth Opportunity Area

San Mateo County

Jursidiction or Area Name	PDA Status
Brisbane	
San Francisco/San Mateo Bi-County Area (with San Francisco)	Potential
Burlingame	
Burlingame El Camino Real	Planned
Daly City	
Bayshore	Potential
Mission Boulevard	Potential
Citywide	
East Palo Alto	
Ravenswood	Potential
Woodland/Willow Neighborhood	
Menlo Park	
El Camino Real Corridor and Downtown	Planned
Millbrae	
Transit Station Area	Planned
Redwood City	
Downtown	Planned
Broadway	Growth Opportunity Area
Middlefield	Growth Opportunity Area
Mixed Use Waterfront	Growth Opportunity Area
Veterans Corridor	Growth Opportunity Area
San Bruno	
Transit Corridors	Planned
San Carlos	
Railroad Corridor	Planned
San Mateo	
Downtown	Planned
El Camino Real	Planned
Rail Corridor	Planned
South San Francisco	
Downtown	Planned
Lindenville Transit Neighborhood	Growth Opportunity Area
CCAG of San Mateo County: El Camino Real	Planned/Potential

Santa Clara County

Jursidiction or Area Name	PDA Status
Cambell	
Central Redevelopment Area	Planned
<i>Winchester Boulevard Master Plan</i>	<i>Growth Opportunity Area</i>
Gilroy	
Downtown	Planned
Los Altos	
<i>El Camino Real Corridor</i>	<i>Growth Opportunity Area</i>
Milpitas	
Transit Area	Planned
<i>Hammond Transit Neighborhood</i>	<i>Growth Opportunity Area</i>
<i>McCandless Transit Neighborhood</i>	<i>Growth Opportunity Area</i>
<i>McCarthy Ranch Employment Center</i>	<i>Growth Opportunity Area</i>
<i>Midtown Mixed-Use Corridor</i>	<i>Growth Opportunity Area</i>
<i>Serra Center Mixed-Use Corridor</i>	<i>Growth Opportunity Area</i>
<i>Tasman Employment Center</i>	<i>Growth Opportunity Area</i>
<i>Town Center Mixed-Use Corridor</i>	<i>Growth Opportunity Area</i>
<i>Yosemite Employment Center</i>	<i>Growth Opportunity Area</i>
Morgan Hill	
Morgan Hill: Downtown	Planned
Mountain View	
Whisman Station	Potential
<i>Downtown</i>	<i>Growth Opportunity Area</i>
<i>East Whisman</i>	<i>Growth Opportunity Area</i>
<i>El Camino Real Corridor</i>	<i>Growth Opportunity Area</i>
<i>Moffett Field/NASA Ames</i>	<i>Growth Opportunity Area</i>
<i>North Bayshore</i>	<i>Growth Opportunity Area</i>
<i>San Antonio Center</i>	<i>Growth Opportunity Area</i>
Palo Alto	
Palo Alto: California Avenue	Planned
<i>Palo Alto: El Camino Real Corridor</i>	<i>Growth Opportunity Area</i>
<i>Palo Alto: University Avenue/Downtown</i>	<i>Growth Opportunity Area</i>
San Jose	
Berryessa Station	Planned
Communications Hill	Planned
Cottle Transit Village	Planned
Downtown "Frame"	Planned
East Santa Clara/Alum Rock Corridor	Planned
Greater Downtown	Planned
North San Jose	Planned
West San Carlos and Southwest Expressway Corridors	Planned
<i>Bascom TOD Corridor</i>	<i>Growth Opportunity Area</i>
<i>Bascom Urban Village</i>	<i>Growth Opportunity Area</i>
<i>Blossom Hill/Snell Urban Village</i>	<i>Growth Opportunity Area</i>
<i>Camden Urban Village</i>	<i>Growth Opportunity Area</i>
<i>Capitol Corridor Urban Villages</i>	<i>Growth Opportunity Area</i>

<i>Capitol/Tully/King Urban Villages</i>	<i>Growth Opportunity Area</i>
<i>Oakridge/Almaden Plaza Urban Village</i>	<i>Growth Opportunity Area</i>
<i>Saratoga TOD Corridor</i>	<i>Growth Opportunity Area</i>
<i>Stevens Creek TOD Corridor</i>	<i>Growth Opportunity Area</i>
<i>Westgate/El Paseo Urban Village</i>	<i>Growth Opportunity Area</i>
<i>Winchester Boulevard TOD Corridor</i>	<i>Growth Opportunity Area</i>

Santa Clara

<i>Central Expressway Focus Area</i>	<i>Growth Opportunity Area</i>
<i>El Camino Real Focus Area</i>	<i>Growth Opportunity Area</i>
<i>Great America Parkway Focus Area</i>	<i>Growth Opportunity Area</i>
<i>Lawrence Station Focus Area</i>	<i>Growth Opportunity Area</i>
<i>Santa Clara Station Focus Area</i>	<i>Growth Opportunity Area</i>
<i>Tasman East Focus Area</i>	<i>Growth Opportunity Area</i>

Sunnyvale

<i>Downtown & Caltrain Station</i>	Planned
<i>El Camino Real Corridor</i>	Planned
<i>Lawrence Station Transit Village</i>	Potential
<i>East Sunnyvale ITR</i>	<i>Growth Opportunity Area</i>
<i>Moffett Park</i>	<i>Growth Opportunity Area</i>
<i>Peery Park</i>	<i>Growth Opportunity Area</i>
<i>Reamwood Light Rail Station</i>	<i>Growth Opportunity Area</i>
<i>Tasman Station ITR</i>	<i>Growth Opportunity Area</i>

VTA Cores, Corridors, and Station Areas (estimate)	Potential
--	-----------

Solano County

Jursidiction or Area Name	PDA Status
Benicia	
Downtown	Planned
Northern Gateway	Growth Opportunity Area
Dixon	
Fairfield	
Downtown South (Jefferson Street)	Planned
Fairfield-Vacaville Train Station	Potential
North Texas Street Core	Potential
West Texas Street Gateway	Planned
Rio Vista	
Suisun City	
Downtown & Waterfront	Planned
Vacaville	
Allison Area	Planned
Downtown	Planned
Vallejo	
Waterfront & Downtown	Planned
Solano County Unincorporated	

Sonoma County

Jursidiction or Area Name	PDA Status
Cloverdale	
Downtown/SMART Transit Area	Planned
Cotati	
Downtown and Cotati Depot	Planned
Healdsburg	
Petaluma	
Central, Turning Basin/Lower Reach	Planned
Rohnert Park	
Sonoma Mountain Village	Potential
Santa Rosa	
Downtown Station Area	Planned
Mendocino Avenue/Santa Rosa Avenue Corridor	Potential
Sebastopol Road Corridor	Planned/Potential
<i>North Santa Rosa Station</i>	<i>Growth Opportunity Area</i>
Sebastopol	
Nexus Area	Potential
Sonoma	
Windsor	
Redevelopment Area	Planned
Sonoma County Unincorporated	
<i>8th Street East Industrial Area</i>	<i>Growth Opportunity Area</i>
<i>Airport/Larkfield Urban Service Area</i>	<i>Growth Opportunity Area</i>
<i>Penngrove Urban Service Area</i>	<i>Growth Opportunity Area</i>
<i>The Springs</i>	<i>Growth Opportunity Area</i>

J:\PROJECT\Funding\T4 - New Act\T4 - STP-CMAQ\T4 Cycle Programming\T4 Second Cycle\Cycle 2 Policy Dev\Block Grant\[Distribution Options.xls]Distrib Overview
 Provided by ABAG 6/6/2011

Table 2
Part of Scenario B

Combine Cycles 1 & 2 funds for LS&R				
Cycle 1: Total Available: \$6,564,000				
Cycle 2: Total Estimated: \$6,000,000. Exact final allocation for each jurisdiction in Cycle 2 will be adjusted pro rata based on final countywide allocation.				
CITY / COUNTY	Measure A	Jurisdiction's Total Share	Cycle 1 Federal Grant	Cycle 2 Federal Grant
			FY 2010/11 FY 2011/12	FY 2012/13 FY 2013/14 FY 2014/15
SM County	13.02%	\$1,635,833	\$1,335,833	\$300,000
San Mateo	11.80%	\$1,482,552	\$1,182,552	\$300,000
Daly City	10.30%	\$1,294,092	\$994,092	\$300,000
Redwood City	9.45%	\$1,187,298	\$887,298	\$300,000
South SF	7.68%	\$964,915	\$664,915	\$300,000
Pacifica	5.18%	\$650,815	\$350,815	\$300,000
San Bruno	5.10%	\$640,764	\$340,764	\$300,000
Menlo Park	4.82%	\$605,585	\$305,585	\$300,000
San Carlos	4.32%	\$542,765	\$242,765	\$300,000
Burlingame	4.23%	\$531,457	\$231,457	\$300,000
Belmont	3.52%	\$442,253		\$442,253
Foster City	3.34%	\$419,638		\$419,638
East Palo Alto	3.28%	\$412,099		\$412,099
Hillsborough	3.01%	\$378,176		\$378,176
Millbrae	2.93%	\$368,125		\$368,125
Atherton	1.89%	\$237,460		\$237,460
Woodside	1.76%	\$221,126		\$221,126
Half Moon Bay	1.61%	\$202,280		\$202,280
Portola Valley	1.48%	\$185,947		\$185,947
Brisbane	0.96%	\$120,614		\$120,614
Colma	0.32%	\$40,205		\$40,205
Total:	100.00%	\$12,564,000	\$6,536,076	\$6,027,924
Agencies above the dash line are working w/ Caltrans on projects that would have been funded by Stimulus II.				

C/CAG

CITY/COUNTY ASSOCIATION OF GOVERNMENTS OF SAN MATEO COUNTY

*Atherton • Belmont • Brisbane • Burlingame • Colma • Daly City • East Palo Alto • Foster City • Half Moon Bay • Hillsborough • Menlo Park • Millbrae
Pacifica • Portola Valley • Redwood City • San Bruno • San Carlos • San Mateo • San Mateo County • South San Francisco • Woodside*

June 21, 2011

Metropolitan Transportation Commission
101 Eighth Street
Oakland, CA 94607

Attention: Steve Heminger, Executive Director

Subject: One Bay Area Grant Proposal

Dear Mr. Heminger;

I want to compliment you and the MTC staff for the One Bay Area Grant Proposal. This is a much more effective way for MTC to implement important policies. I also appreciate the opportunity to have input to this process. Unfortunately I cannot attend the 6/22/11 meeting, since I will be at the California Transportation Committee Meeting in Long Beach. If possible I would like to call in to the meeting. However, I wanted to share these thoughts and suggestions.

- 1- MTC's focus of "Fix It First" or maintenance of the existing system should be considered as part of the One Bay Area Grant development.
- 2- The program needs to be kept simple and flexible. Give the CMA's flexibility to address their unique situation within broad guidelines. Keep in mind that the MTC Commissioners are also on the CMA Boards.
 - a- Provide flexibility within and between programs with no limitations. No 20% limit between programs as per Cycle 1. Hopefully this is your intent.
- 3- It is important to stay focused on the policy you want implemented and not be distracted or concerned about the specific project implemented with the incentive. The project is the reward to the jurisdictions for implementing the MTC policy and not the MTC objective. The policy implementation is what MTC wants done and the project is what the City/ County wants with the incentive. There should be little to no conditions on the incentive. Too many conditions on the incentive it is no longer an incentive.

There should not be a one to one direct connection between a PDA's growth and a specific project. Rather, the overall investments in a PDA jurisdiction should be commensurate with its overall growth.

- 4- Do not make assignments to specific PDA's. Let the CMA's make that determination. I believe this has already been addressed in the revised proposal. I would set a PDA target of no more than 50%. Specifying too high a number will limit your ability to achieve the primary target which is the development of housing.
 - a- The funding will be provided to a PDA jurisdiction that provides the housing, but whether it is used in the PDA is up to the discretion of the jurisdiction.

Rationale is in accordance with Comment 2.

- 5- In meeting the requirements it should be evaluated across the total One Bay Area Grant and not at the individual programs.
- 6- As Mayor Green said at the previous meeting no funds should be provided unless a housing unit or specific task has been completed. While the number of housing units should be a key measurement I think MTC should also be open to other actions such as rezoning, specific plans etc. One of the reasons these other factors need to enter in to the equation is that there would likely be an administration problem with timely use of the funds if it was focused solely on housing built. This is due to the time it takes to get housing under construction.
- 7- The detailed CMA implementation could be submitted to and approved by MTC staff within the broad guidelines.

Your consideration of these comments in developing One Bay Area Grant is appreciated. If there are any questions please contact Richard Napier at 650 599-1420.

Sincerely,



Richard Napier
Executive Director
City/ County Association of Governments

cc: Kevin Mullin - MTC Representative
Adrienne Tissier - MTC Representative
Doug Kimsey - MTC Staff

C/CAG AGENDA REPORT

Date: July 21, 2011
To: C/CAG CMP Technical Advisory Committee (TAC)
From: Jean Higaki, Transportation System Coordinator
Subject: Regional Project and Funding Information

(For further information or questions contact Jean Higaki at 650-599-1462)

RECOMMENDATION

This is an informational item.

FISCAL IMPACT

None.

SOURCE OF FUNDS

N/A

BACKGROUND/DISCUSSION

C/CAG staff routinely attends meetings hosted by the Metropolitan Transportation Commission (MTC) and receives information distributed by the MTC pertaining to Federal funding, project delivery, and other regional policies that may affect local agencies. Attached to this report includes relevant information from MTC.

- FHWA policy for inactive projects - The current inactive list is attached. Project sponsors are requested to visit the Caltrans site regularly for updated project status at:
<http://www.dot.ca.gov/hq/LocalPrograms/Inactiveprojects.htm>

Caltrans provides policy and procedural guidance to Caltrans and local agency staff for the management of Inactive Obligations at:

http://www.dot.ca.gov/hq/LocalPrograms/DLA_OB/office-bulletins/ob11-03.pdf

- Local Agency Federal-Aid Highway Construction Contractor's Annual Equal Employment Opportunity (EEO) Report - If a Federal-Aid project is active during the last full week of July 2011, all construction contractors with a contract amount that exceeds \$10,000 (regardless of tier) must complete and submit an EEO report (form PR-1391). If a contractor was working at any time during the last full week of July 2011, the report must contain employee detail data. Further details can be found in Chapter 16 of the LAPM starting on page 16-17.

The EEO report is only required for construction contracts. Do not include consultant data. If the project is completed before the last full week in July or does not begin until August, no report needs to be filed. The form and instructions can be downloaded at:

http://www.dot.ca.gov/hq/LocalPrograms/DBE_CRLC/DBE_CRLC.html#EEO

Contractors should download the form to report the information. Contractors must submit the completed form PR-1391 to their local agency Resident Engineers no later than August 12, 2011. Local Agency Resident Engineers must submit forms to their respective DLAEs by August 26, 2011. The DLAEs send the reports to HQ Local Assistance no later than September 2, 2011.

- Indirect Cost Allocation Plan (ICAP) and Indirect Cost Rate Proposal (ICRP) - To address indirect cost reimbursement concerns, Caltrans Audits & Investigations, in cooperation with FHWA, is implementing a new process (see attachment) for indirect cost allocation plan and indirect cost rate proposal submissions.
- Local Assistance Office Bulletins - Local Assistance has release Office Bulletins to update the Local Assistance Procedures for the following subjects:
 - New authorization forms for non-infrastructure projects (DLA-OB 11-08)
 - New environmental forms for non-infrastructure projects (DLA-OB 11-10)
 - Right of Way Certification – New short form (Exhibit 13-A) for projects with utility cover adjustments only. (DLA-OB 11-09)

Office Bulletins can be downloaded at:

http://www.dot.ca.gov/hq/LocalPrograms/DLA_OB/DLA_OB.htm

- Highway Safety Improvement Program (HSIP) Delivery - Caltrans is concerned with the delivery of HSIP projects. To ensure that all programmed projects are delivered in a timely manner, Local Assistance has created Safety Program Delivery Requirements for all ongoing and future federally funded safety projects. The key delivery requirements for new safety projects include three milestones and corresponding delivery deadlines:
 1. Request for Authorization to Proceed with PE within 6 months after the project is amended into the Federal Statewide Transportation Improvement Program (FSTIP).
 2. Request Authorization to Proceed with Construction within 30 months (2 ½ years) after the project is amended into the FSTIP.
 3. Complete construction and close-out the project within 54 months (4 ½ years) after the project is amended into the FSTIP.

Details can be found at:

http://www.dot.ca.gov/hq/LocalPrograms/HSIP/Documents/HSIP_Guidelines.pdf

- State Transportation Improvement Program (STIP) Development - C/CAG staff will be working with the San Mateo County Transportation Authority (SMCTA) to develop the 2012 STIP. All projects in the STIP must have an approved Project Study Report (PSR) by October 24, 2011.

ATTACHMENTS

1. Inactive Project List generated on 7/5/2011
2. ICAP/ ICRP Process

Federal Aid Project Expenditures To-Date (7/5/2011)

District	Agency	Project No	State Project Number	Project Description	Project Status Description	Latest Payment Date	Earliest Auth Date	Obligations Amount	Expenditure Amount	Oblig. & Unexpended	Latest Date	Days Until Inactive	Tier
04	Contra Costa County	5928101	'04925706L'	VARIOUS BRIDGES THROUGHOUT CONTRA COSTA COUNTY. BRIDGE DECK METHACRYLATE TREATMENT	Active		7/6/2010	1,004,108.00	0.00	1,004,108.00	7/6/2010	-6	Tier 1
04	Brisbane Metropolitan Transportation Commission	5376010	'04925775L'	BAYSHORE BLVD FROM NORTHERN CITY LIMITS TO VALLEY DRIVE, INSTALL CLASS 2 BIKE PATH	Active		8/4/2010	508,102.00	0.00	508,102.00	8/4/2010	23	Tier 1
04	San Francisco County Transportation Authority	6084165	'049256800L'	SAN FRANCISCO BAY AREA, CLIMATE INITIATIVES EVALUATION AND ADMINISTRATION	Active		8/11/2010	4,000,000.00	0.00	4,000,000.00	8/11/2010	30	Tier 1
04	San Francisco County Transportation Authority	6272023	'043A6408L'	YERBA BUENA ISLAND EASTSIDE WESTBOUND ON & OFF RAMP, RECONST EXISTING WB ON & OFF RAMPS ON EAST OF YBI	Active		8/20/2010	3,983,850.00	0.00	3,983,850.00	8/20/2010	39	Tier 1
04	Caltrans	P017105	'041E0904S'	IN LOS GATOS ON STATE ROUTE 17, COLD PLANING, AC PAVEMENTS, AC OVERLAYING (TC)	Active		8/24/2010	4,706,651.00	0.00	4,706,651.00	8/24/2010	43	Tier 1
04	Caltrans	0801107	'04263704S'	CC COUNTY ON W/B FROM RT 4 TO CUMMINGS . EXTEND HOV LANE	Active	08/24/2010	2/13/2005	24,789,612.00	23,903,609.17	886,002.83	8/24/2010	43	Tier 1
04	Vacaville	5094048	'04925310L'	ALLISON AND ULATIS DRIVES INTERSECTION , INTERMODAL TRANSP. STATION	Active	08/31/2010	6/5/2009	3,028,000.00	2,210.18	3,025,789.82	8/31/2010	50	Tier 1
04	Caltrans	P128046	'044C3504S'	IN NAPA COUNTY ON STATE ROUTE 128 FROM TUBBS LANE TO HIGH STREET, GRIND AND REPLACE AC (TC)	Active		9/1/2010	1,057,742.00	0.00	1,057,742.00	9/1/2010	51	Tier 1
04	Berkeley	5057035	'049256836L'	SEE COMMENTS, UPGRADE PARKING METERS	Active		9/8/2010	1,800,000.00	0.00	1,800,000.00	9/8/2010	58	Tier 1
04	Santa Clara County	5937170	'049256842L'	STANFORD UNIVERSITY, ITS HIGH PRIORITY PARKING PRICING	Active		9/9/2010	2,358,000.00	0.00	2,358,000.00	9/9/2010	59	Tier 1
04	Brentwood	5300005	'04923487L'	BRENTWOOD BLVD. (SR4) FROM PINE TO 2ND STREET . CURVE RECONSTRUCTION	Active	09/09/2010	8/31/2000	780,867.87	146,480.21	634,387.66	9/9/2010	59	Tier 1
04	San Jose	5005087	'04924688L'	COYOTE CREEK TRAIL (SR237 TO STORY RD) BIKE/PED TRAIL	Active	09/09/2010	7/3/2008	1,317,999.00	560,160.31	757,838.69	9/9/2010	59	Tier 1
04	Concord	5135033	'04924719L'	CONCORD BLVD: FARM BUREAU RD TO SIXTH ST . SIDEWALK, CURB RAMPS, BIKE LANES	Active	09/09/2010	5/27/2009	820,000.00	1,645.00	818,355.00	9/9/2010	59	Tier 1
04	Danville	5434016	'04924770L'	CAMINO TASSAJARA & CROW CANYON RD. TO E. TOWN . CONSTR. PED. WALKWAY & BIKEPATH	Active	09/09/2010	8/22/2007	719,921.00	197,936.00	521,985.00	9/9/2010	59	Tier 1
04	Fairfax	5277025	'04925508L'	MEADOW WAY BRIDGE OVER SAN ANSELMO CREEK . REPLACE 1 LANE BR. WITH 1 LANE BR.	Active	09/16/2010	7/16/2009	704,699.00	6,617.62	698,081.38	9/16/2010	67	Tier 1
04	Bay Area Rapid Transit Authority	6000047	'04925625L'	18TH STREET IN OAKLAND TO ASHLAND AVENUE IN HAYWARD/FREMONT , SEISMIC RETROFIT-AERIAL STRUCTURES	Active		9/21/2010	10,648,389.00	0.00	10,648,389.00	9/21/2010	71	Tier 1
04	Bay Area Rapid Transit Authority	6000044	'04925627L'	I-238 TO HAYWARD STATION, SR-92, INDUSTRIAL BLVD, ALAMEDA CREEK AND UPRR, SEISMIC RETROFIT OF BART STRUCTURES, FREMONT LINE	Active		9/21/2010	6,951,376.00	0.00	6,951,376.00	9/21/2010	71	Tier 1
04	Bay Area Rapid Transit Authority	6000043	'04925620L'	IN THE CITIES OF OAKLAND AND BERKELEY, SEISMIC RETROFIT-R-LINE NORTH AERIALS	Active		9/21/2010	5,429,545.00	0.00	5,429,545.00	9/21/2010	71	Tier 1

DEPARTMENT OF TRANSPORTATION**AUDITS AND INVESTIGATIONS**

P.O. Box 942874, MS-2
SACRAMENTO, CA 94274-0001
PHONE (916) 323-7111
FAX (916) 323-7123
TTY 711
www.dot.ca.gov



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July 1, 2011

Transportation Partners:

In response to concerns raised with the existing process to obtain approval of indirect cost allocation plans/indirect cost rate proposals (ICAPs/ICRPs), the California Department of Transportation (Department), in cooperation with the Federal Highway Administration (FHWA), is implementing a streamlined approach to processing Local Government Agency (LGA) ICAPs/ICRPs.

Effective July 1, 2011, the Department will issue a rate acceptance letter within 30 business days of receipt of an ICAP/ICRP that meets the submission requirements of 2 Code of Federal Regulations Part 225. After receiving a rate acceptance letter, the LGA may use the accepted rate(s) for billing and reimbursement purposes for the fiscal year (FY) specified in the ICAP/ICRP. For those ICAPs/ICRPs that were previously submitted and accepted, rate acceptance letters will be issued.

LGAs should submit ICAPs/ICRPs within six months after the close of the LGA's FY or within 30 days from the date the LGA's annual audit is complete. A one-time exception will be provided to allow LGAs to submit prior FY ICAPs/ICRPs until December 31, 2011. LGAs that submit an ICAP/ICRP after this timeframe are at risk of unreimbursed indirect costs.

The Department will perform audits to determine whether the ICAP/ICRP complies with the applicable cost principles. FHWA also reserves the right to conduct audits/reviews. If an ICAP/ICRP is selected for audit, the LGA will be notified. Material audit adjustments will require reimbursement if ICAPs/ICRPs are later found to have included costs that are unallowable as specified by law or regulation or by the terms and conditions of federal or state awards.

A brief explanation of the revised ICAP/ICRP submission process, documentation requirements, process flowchart, sample revised ICAP/ICRP submission certification, and sample ICAP/ICRP schedules with referencing are attached.

Transportation Partners

July 1, 2011

Page 2

In an effort to increase assurance that future important audit related notifications are distributed to interested stakeholders, please send applicable contact information to the following:

Audits.and.Investigations.questions@dot.ca.gov.

For questions or concerns regarding the new process or status of a previously submitted ICAP/ICRP please contact the following:

Cities/Counties: Zilan Chen at (916) 323-7877, email zilan_chen@dot.ca.gov

MPOs/RTPAs: Teresa Greisen at (916) 323-7910, or email teresa_greisen@dot.ca.gov

Sincerely,



SUSAN BRANSEN

Assistant Director

Audits and Investigations

Enclosures

Attachment A - Submission & Audit Process Flowchart

Attachment B - Submission, Audit & Documentation Requirements

Attachment C - Submission Review Checklist

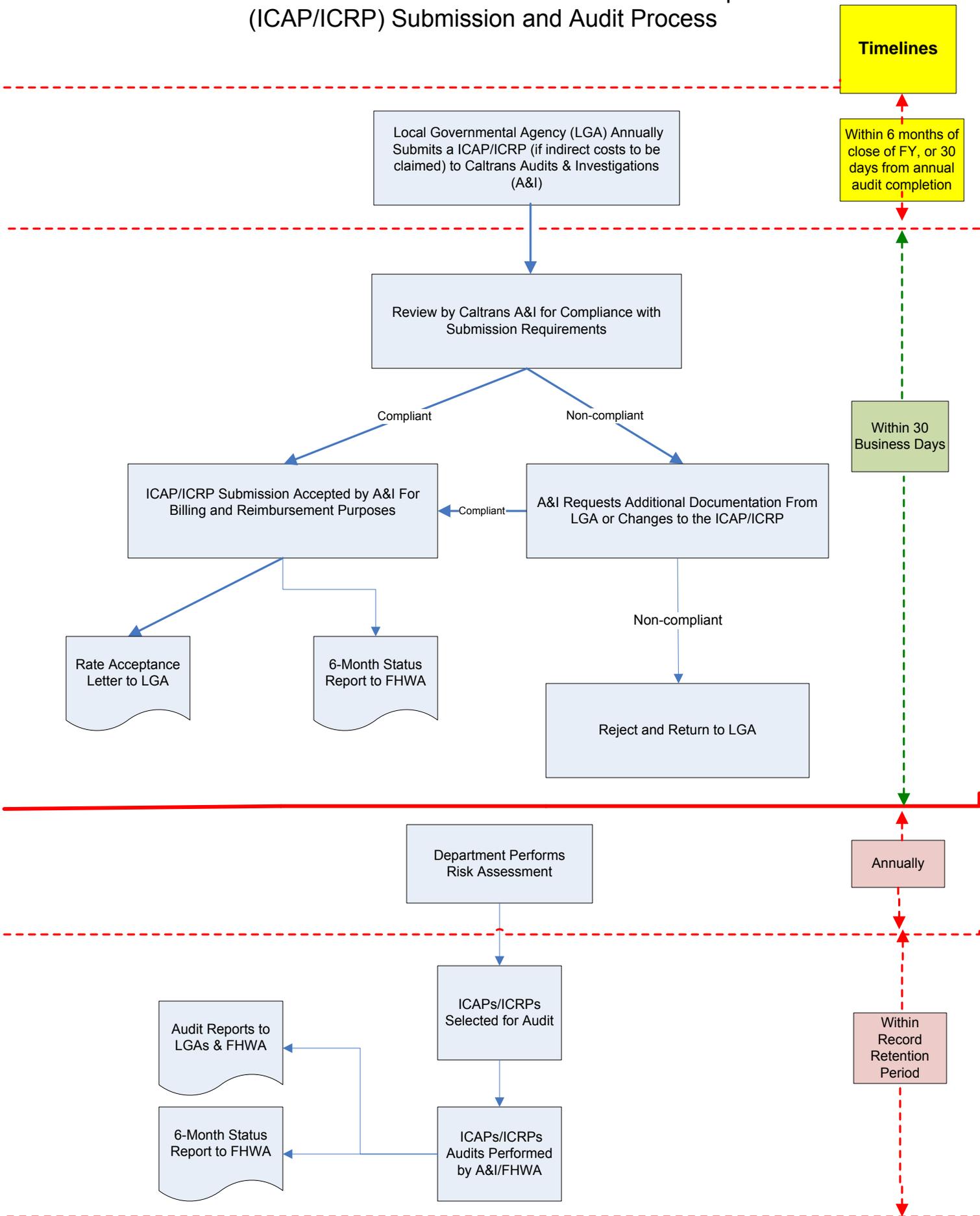
Attachment D - Submission Certification

Attachment E - Submission Schedules

- c: Vincent Mammano, Chief Operating Officer, FHWA California Division
- Michael Avery, Acting Finance Director, FHWA California Division
- Martin Tuttle, Deputy Director, Planning and Modal, Caltrans
- Denix Anbiah, Chief, Division of Local Assistance, Caltrans
- Bill Bronte, Chief, Division of Rail, Caltrans
- Jane Perez, Chief, Division of Mass Transportation, Caltrans
- Sharon Scherzinger, Chief, Division of Transportation Planning, Caltrans

Attachment A

Indirect Cost Allocation Plan /Indirect Cost Rate Proposal (ICAP/ICRP) Submission and Audit Process



Attachment B
Indirect Cost Allocation Plan/Indirect Cost Rate Proposal
Submission, Audit, and Documentation Requirements

Annual ICAP/ICRP Submission Process

- Local Government Agencies (LGA) will submit an Indirect Cost Allocation Plan/Indirect Cost Rate Proposal (ICAP/ICRP) to the Department for review and acceptance prior to invoicing for indirect costs. If allocated central service costs are included in an ICRP, the LGA should also submit its Central Service Cost Allocation Plan (CSCAP) along with the ICRP to the Department. For LGAs that receive federal funds each year, a fixed rate with carry forward should be used. LGAs that do not receive federal funds annually should submit a predetermined rate.
- Within 30 business days of receipt, the Department will review the ICAPs/ICRPs received for compliance to the submission requirements of 2 CFR Part 225. The Department's acceptance must be received by the LGA prior to the LGA billing for indirect costs.
- If necessary, the Department will advise LGAs of the additional documentation needed to support/evaluate the proposed plan or identify changes required to make the proposed plan compliant.
- Non-compliant submissions may be returned to the LGA if requested documentation is not provided or required changes are not made within 5 business days of notification to the LGA of the additional document(s) needed or changes required.
- LGAs with an ICAP/ICRP approved by a cognizant federal agency will submit a copy of the cognizant federal agency approval, the approved proposal, plan, subsidiary worksheets, and other relevant data (see "Documentation of Proposal" section below) to the Department.
- LGAs should submit ICAPs/ICRPs within six months after the close of the LGA's fiscal year or within 30 days from the date the LGA's annual audit is complete. LGAs will have until December 31, 2011, to submit prior fiscal year ICAPs/ICRPs. LGAs that submit an ICAP/ICRP after this timeframe are at risk of unreimbursed indirect costs.
- If overall fringe benefit rates are not approved for the LGA as part of the CSCAP, a proposed fringe benefit rate and computation should accompany the ICAP/ICRP submittal.
- The Department will issue rate acceptance letters for ICAPs/ICRPs that were previously accepted and awaiting audit. The Department will also provide a six-month status report to FHWA.

Timeline

The Department is committed to issuance of a rate acceptance letter within 30 business days of Department receipt, provided that the ICAP/ICRP package is in compliance with all submission requirements of 2 CFR Part 225.

ICAP/ICRP Audits

Annually, the Department will perform a risk assessment of submitted ICAPs/ICRPs for audit. If an ICAP/ICRP is selected for audit, the LGA will be notified. The Department will perform an audit to determine whether the ICAP/ICRP complies with the applicable cost principles. Material audit adjustments will require reimbursement if proposals are later found to have included costs that are unallowable as specified by law or regulation or by the terms and conditions of federal or State awards. FHWA may also conduct reviews/audits.

Documentation of Proposal

All LGAs desiring to claim indirect costs for federal-aid and/or State funded projects must prepare an ICAP/ICRP and related documentation to support those costs. All documents related to the ICAP/ICRP must be retained for audit in accordance with the record retention requirements in the “Common Rule,” 49 CFR Part 18 and Master Agreements between the LGA and the Department.

The following documentation shall be included with each proposal as prescribed by 2 CFR Part 225:

1. **ICAP/ICRP**
 - a. Schedule showing calculation of rates proposed including subsidiary worksheets and other relevant data, cross-referenced and reconciled to the financial data noted below.
 - b. Subsidiary worksheets should include the following:
 - Schedule of actual direct / indirect /unallowable costs incurred by cost category type (i.e., rent, utilities, depreciation, etc.) as well as by departmental unit.
 - Schedule of budgeted direct costs and indirect costs by cost category type and department unit (include Board approval, etc.)
 - Schedule showing calculation of the over/under carry forward provision when “fixed rate” is used.
 - c. A copy of the financial data (financial statements, comprehensive annual financial report, single audit reports and management reports, if applicable, etc.) on which the rate is based.
 - d. The approximate amount of direct base costs to be incurred under federal-aid and State reimbursement. These costs should be distinguished between salaries and wages and other direct costs.
 - e. A chart identifying the organizational structure of the agency during the period for which the proposal applies along with a functional statement noting the duties and/or responsibilities of all agency units. (Once this is submitted, only revisions need be submitted with subsequent proposals)
 - f. Certification that the ICAP/ICRP was prepared in a manner consistent and is in compliance with the Cost Principles of 2 CFR Part 225. (See Attachment D for Sample Certification)
 - g. The Department’s Submission Review Checklist to assist LGAs in understanding the documentation that is used to review each submittal. (See Attachment C for Submission Review Checklist)

2. Central Service Cost Allocation Plan

If allocated central service costs are included in an ICRP, the LGA should also submit its CSCAP along with the ICRP to the Department. LGAs submitting their CSCAP to the Department should submit a Certificate of Cost Allocation Plan, document their plan, and include supporting documentation in accordance with 2 CFR 225, Appendix C, Section E. See ASMB C-10 for a sample Central Service Cost Allocation Plan and supporting documentation.

Attachment C
LGA ICAP/ICRP SUBMISSION REVIEW CHECKLIST

Name of Agency _____ Date Completed _____
 Name of Preparer _____ ICAP/ICRP Period _____

A. ICAP/ICRP Submission Checklist:

	<u>Yes</u>	<u>No</u>	<u>N/A</u>
1. Schedule showing calculation of rates proposed including subsidiary worksheets and other relevant data, cross-referenced and reconciled to the financial data noted below.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Subsidiary worksheets should include the following:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Schedule of actual direct / indirect /unallowable costs incurred by cost category type (rent, utilities, depreciation, etc.) and departmental unit.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Schedule of budgeted direct costs and indirect costs by cost category type and department unit (include Board approval).	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
• Schedule showing calculation of the over/under carry forward provision when “fixed rate” is used. Include the carry-forward calculation worksheet.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. A copy of the financial data (financial statements, comprehensive annual financial report, single audit reports and management reports, including notes, if applicable, etc.)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. Document whether fringe benefit rate computations are included in the Plan. If not, please explain why.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. The approximate amount of direct base costs to be incurred under federal-aid and State reimbursement. These costs should be distinguished between salaries and wages and other direct costs.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. A chart identifying the organizational structure of the agency during the period for which the proposal applies along with a functional statement noting the duties and/or responsibilities of all agency units. (Once this is submitted, only revisions need be submitted with subsequent proposals)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. Certification, dated and signed by an appropriate official, that the ICAP/ICRP was prepared in a manner consistent and is in compliance with the Cost Principles of 2 CFR Part 225. (See Attachment D for Sample Certification)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

B. Central Service Cost Allocation Plan Submission Checklist:

- | | <u>Yes</u> | <u>No</u> | <u>N/A</u> |
|--|--------------------------|--------------------------|--------------------------|
| a. Certificate of Cost Allocation Plan, dated and signed by an appropriate official. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| b. Supporting documentation demonstrating compliance with 2 CFR 225, Appendix C, Section E. (See ASMB C-10 for a Sample Central Service Cost Allocation Plan and documentation.) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

C. Optional Information:

(Note: The requested information below is optional for ICAP/ICRP submission purposes)

- | | | | |
|---|--------------------------|--------------------------|--------------------------|
| 1. Was it determined that the Federal Highway Administration (FHWA) is your cognizant agency for all submitted rates? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2. Does the Plan contain an explanation of significant changes from procedures as reported in the previous cost plan? | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 3. Was the ICAP/ICRP audited for compliance with 2 CFR 225 by an Independent Auditor in accordance with Government Auditing Standards? (If so, please provide a copy of the audit report) | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

4. Insert the approximate amount of annual direct costs incurred under all federal and State awards as follows: Direct Salaries and Wages: \$ _____; Total: \$ _____;

5. Insert the estimated indirect costs to be billed for reimbursement of state and federal funds: \$ _____.

6. For Other Post-Employment Benefits (OPEB) GASB 45 Compliance

Note: In accordance with FHWA Policy, the amortization period for compliance with GASB 45 must be a minimum of 20 years to ensure equitable, consistent, and reasonable OPEB reimbursement rates for all local agencies within the state of California receiving Federal funding from the FHWA. Therefore, only an amortization period of between 20 to 30 years will be allowed to calculate the reimbursement rate for OPEB benefits for FHWA funded projects in the State of California.

a. Does the Plan include a Certificate of Actuarial Assumption, dated and signed by a responsible official, that identifies the Other Post Employment Benefits liability and amortization schedule?

b. Does the Plan have Other Post-Employment Benefits that are funded?

7. Central Service Allocation:

(Note: A local agency, which has been assigned a cognizant federal agency by the OMB, must submit its Indirect Cost Rate Proposal and Central Service Cost Allocation Plan to its cognizant federal agency for approval. A list of the cognizant federal agencies assigned to state and local agencies can be located at the Federal Audit Clearinghouse website. If allocated central service costs are included in an ICRP, the LGA should provide information noted below.)

a. If FHWA is your cognizant agency list all central service departments, including proprietary funds that indirectly bill departments:

	<u>Yes</u>	<u>No</u>	<u>N/A</u>
b. Are schedules and supporting documentation provided for each central service department indirect cost allocation included in the Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Are narratives provided for each central service department?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Are rate-setting methodologies included for each central service department?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Attachment D
ICAP/ICRP SUBMISSION CERTIFICATION

[AGENCY NAME]
Indirect Cost Rate
FY XXXX

The indirect cost rate plan contained herein is for use on grants, contracts and other agreements with the Federal Government and the California Department of Transportation (Department), subject to the provisions in Section II. This rate was prepared by the [AGENCY NAME] and accepted by the Department.

SECTION I: Rates

<u>Rate Type*</u>	<u>Effective Period</u>	<u>Rate**</u>	<u>Applicable to</u>
Fixed w/carry forward	7/1/11 to 6/30/12	xx.xx%	LIST APPLICABLE AREAS
Fringe Benefit (if applicable)	7/1/11 to 6/30/12	xx.xx%	LIST APPLICABLE AREAS

* For LGAs that receive federal funds each year, a fixed rate with carry forward should be used. For LGAs that receive federal funds once every few years, a predetermined rate should be used.

** Base: IDENTIFY BASE

SECTION II: General Provisions

A. Limitations:

The rate in this Agreement is subject to any statutory or administrative limitations and applies to a given grant, contract, or other agreement only to the extent that funds are available.

Acceptance of the rate is subject to the following conditions: (1) Only costs incurred by the organization were included in its indirect cost pool as finally accepted; such costs are legal obligations of the organization and are allowable under the governing cost principles; (2) The same costs that have been treated as indirect costs are not claimed as direct costs; (3) Similar types of costs have been accorded consistent accounting treatment; (4) The information provided by the organization which was used to establish the rate is not later found to be materially incomplete or inaccurate by the Federal Government or the Department. In such situations the rate would be subject to renegotiation at the discretion of the Federal Government or the Department; (5) Prior actual costs used in the calculation of the approved rate are contained in the grantee's Single Audit which was prepared in accordance with OMB A-133. If a Single Audit is not required to be performed, then audited financial statements should be used to support the prior actual costs; and, (6) This rate is based on an estimate of the costs to be incurred during the period.

B. Accounting Changes:

This Agreement is based on the accounting system purported by the organization to be in effect during the Agreement period. Changes to the method of accounting for costs which affect the amount of reimbursement resulting from the use of this Agreement require prior approval of the authorized representative of the cognizant agency. Such changes include, but are not limited to, changes in the charging of a particular type of cost from indirect to direct. Failure to obtain approval may result in cost disallowances.

C. Fixed Rate with Carry Forward:

The fixed rate used in this Agreement is based on an estimate of the costs for the period covered by the rate. When the actual costs for this period are determined – either by the grantee’s Single Audit, or if a Single Audit is not required, then by the grantee’s audited financial statements – any differences between the application of the fixed rate and actual costs will result in an over or under recovery of costs. The over or under recovery will be carried forward, as an adjustment to the calculation of the indirect cost rate, to the second fiscal year subsequent to the fiscal year covered by this plan. *(Note: If a predetermined rate is used, then the carry forward provision does not apply).*

D. Audit Adjustments:

Immaterial adjustments resulting from the audit of information contained in this plan shall be compensated for in the subsequent indirect cost plans approved after the date of the audit adjustment. Material audit adjustments will require reimbursement from the grantee.

E. Record Retention:

The proposal and all related documentation must be retained for audit in accordance with the record retention requirements of the State or Federal agreements for which the indirect rate will be billed or for three years after the fiscal year for which the rate is calculated, whichever is longer.

F. Use by Other Federal Agencies:

Authority to accept this agreement by the Department has been delegated by the Federal Highway Administration, California Division. The purpose of this acceptance is to permit subject local government to bill indirect costs to Title 23 funded projects administered by the Federal Department of Transportation (DOT). This acceptance does not apply to any grants, contracts, projects, or programs for which DOT is not the cognizant Federal agency.

The acceptance will also be used by the Department in State-only funded projects.

G. Other:

If any Federal contract, grant, or other agreement is reimbursing indirect costs by a means other than the accepted rate in this Agreement, the organization should (1) credit such costs to the affected programs, and (2) apply the accepted rate to the appropriate base to identify the proper amount of indirect cost allocable to these programs.

H. Rate Calculation:

FY 2012 Budget Indirect Costs	\$x,xxx,xxx
Carry Forward from FY 2010	_____ \$0
Budgeted FY 2012 Indirect Costs	\$x,xxx,xxx
FY 2012 Budgeted Direct Salaries & Wages (or applicable base)	\$x,xxx,xxx
FY 2012 Indirect Cost Rate	xx.xx%

CERTIFICATION OF INDIRECT COSTS

This is to certify that I, name of responsible official, have reviewed the indirect cost rate proposal submitted herewith and to the best of my knowledge and belief:

- (1) All costs included in the proposal to establish billing or final indirect cost rates for fiscal year 200X (July 1, 200X to June 30, 200X) are allowable in accordance with the requirements of the Federal and State award(s) to which they apply and 2 Code of Federal Regulations (CFR), Part 225, "Cost Principles for State, Local, and Indian Tribal Governments." Unallowable costs have been adjusted for in allocating costs as indicated in the cost allocation plan.
- (2) All costs included in this proposal are properly allocable to Federal and State awards on the basis of a beneficial or causal relationship between the expenses incurred and the agreements to which they are allocated in accordance with applicable requirements. Further, the same costs that have been treated as indirect costs have not been claimed as direct costs. Similar types of costs have been accounted for consistently and the Federal Government and the Department will be notified of any accounting changes that would affect the final rate.
- (3) Additionally, I understand that in accordance with 2 CFR, Part 225, Appendix E, Section E.4, refunds shall be made if proposals are later found to have included costs that are unallowable as specified by law or regulation, as identified in Appendix B to this part, or by the terms and conditions of Federal and State award, or are unallowable because they are clearly not allocable to Federal or State awards. These adjustments or refunds will be made regardless of the type of rate negotiated (predetermined, final, fixed or provisional).

I acknowledge as a representative of [NAME OF AGENCY] that the proper use and application of the indirect rate contained in this indirect cost rate proposal is the responsibility of the [NAME OF AGENCY] and such use may be subject to audit by the Department or Federal Highway Administration. Failure to cooperate with an audit can result in the withdrawal of Department acceptance and require immediate reimbursement of previously reimbursed indirect costs.

I declare that the foregoing is true and correct.

Government Unit: [AGENCY NAME]

Signature: _____

Signature: _____

Reviewed, Approved and Submitted by:

Prepared by:

Name of Official: _____

Name of Official: _____

Title: _____

Title: _____

Date of Execution: _____

Telephone No.: _____

INDIRECT COST RATE SUBMISSION ACCEPTANCE

The Department has received this ICAP/ICRP and accepts the plan for billing and reimbursement purposes.

Signature

Accepted by:

NAME

Position: _____

Date: _____

Phone Number: _____

SAMPLE

ATTACHMENT E
SAMPLE ICAP/ICRP SCHEDULES

To comply with the requirements of 2 CFR Part 225, Appendix E. Section D. Submissions and Documentation of Proposals, the ICAP/ICRP rates proposed, including subsidiary work sheets and other relevant data should be referenced and reconciled to the financial data used to develop the rate proposal. A copy of the audited financial data or approved budget used to develop the rate should accompany the ICAP/ICRP and be referenced to the ICAP/ICRP and all supporting schedule(s).

Page 2 of ICAP/ICRP Certification Letter, H: Calculation of Rate:

FY 11/12 Budgeted Indirect Costs	\$	235,630	<See indirect cost calculation detail page 3>
Carry Forward From FY 2009-10	\$	<u>26,874</u>	<Carryforward Calculation page 2>
Adjusted Indirect Costs for FY 2011/12	\$	262,504	
FY 2011/12 Budgeted Direct Salaries and Wages plus Fringe Benefits	\$	352,444	<See indirect cost calculation detail page 3>
FY 2011/12 Indirect Cost Rate		74.48%	

FOR EXAMPLE PURPOSES ONLY

**ATTACHMENT E
SAMPLE ICAP/ICRP SCHEDULES**

FY 11/12 INDIRECT COST CARRYFORWARD CALCULATION FOR FY 09/10

	Actual FY 09/10	<i>Reference</i>	ACTUAL FY 10/11	Estimated FY 11/12	<i>Reference</i>
Approved ICAP Rate	60.25%	<i>FY 09/10 approved rate</i>			
Beginning Carryforward (FY 07/08)	\$ 15,346	<i>FY 09/10 approved ICAP/ICRP</i>		\$ 26,874	<i>FY 09/10 carryforward **</i>
Actual Indirect Costs	181,654	<i><Actual cost detail from page 4></i>		235,630	<i><from ICAP/ICRP rate detail page 3></i>
Total Indirect Costs	<u>\$ 197,000</u>		<u>\$ -</u>	<u>\$ 262,504</u>	
Actual Direct Salaries & Fringe Benefits	\$ 282,366	<i><Actual cost detail from page 4></i>		\$ 352,444	<i><from ICAP/ICRP rate detail page 3></i>
Approved Rate	60.25%	<i>FY 09/10 approved rate</i>			
Recovered Indirect Costs (approved rate x actual base)	\$ 170,126				
Ending Carryforward (total Indirect costs - Recovered Indirect Costs)	\$ 26,874	<i>To FY 11/12 rate calculation <To page 1></i>			
				74.48% FY 11/12 Calculated Rate (Total Indirect costs / Actual Direct Salaries & Fringe Benefits)	

* As required by 2 CFR, Part 225.55 all costs and rates identified on this page are referenced to the schedule(s) and document(s) that support the stated amount and rate.

** The costs for FY 11/12's Beginning Carryforward come from the FY 09/10 actual costs, i.e. two years prior to the ICAP/ICRP year submitted. The actual direct labor costs and actual indirect costs should be supported by audited financial statements. If the audited financial statements do not provide details then the audited general ledger detail should be provided and reconciled to the audited financial and/or any schedule(s) included in the ICAP/ICRP package. Any differences in the statements amounts should be fully explained. Any adjustments made to audited figures should also be fully explained (i.e. unallowable costs).

FOR EXAMPLE PURPOSES ONLY

**ATTACHMENT E
SAMPLE ICAP/ICRP SCHEDULES**

INDIRECT COST ALLOCATION PLAN DETAIL FY 11/12

The source of the information on this page should be identified by reference and provided in the ICAP/ICRP package. If the ICAP/ICRP is based on budget then the submitting agency should provide an approved budget document with proof of approval (Board approval for example.) If it is based on a prior years actual cost then the audited financial statements and supporting general ledger should be provided for that year (Pertains to some Cities and Counties only)

Item	Direct Expense	Reference:	Indirect Expense	Reference:	Unallowable Expense	Reference/ Foot Note	TOTAL	Reference:
Salaries	\$ 240,000		\$ 114,000		\$ 6,000	See *** below	\$ 360,000	<Financial document at page/s _____>
Fringe Benefits (46.8517 %)	112,444		53,411		2,811		168,666	
Total	\$ 352,444	<To page 1>	\$ 167,411		\$ 8,811		\$ 528,666	
Direct costs								
Rent			\$ 20,000				\$ 20,000	↑ ↓
Utilities			5,000				5,000	
Telephone			3,800		\$ 200		4,000	
Advertising/Pub.	\$ 100,000		3,000				103,000	
Office Supplies			7,500				7,500	
Computer Supplies			2,000				2,000	
Travel			3,419		581		4,000	
Consultants	200,000		11,500				211,500	
Insurance	50,000		4,000				54,000	
Conference/training			6,000				6,000	
Miscellaneous			2,000		500		2,500	
Subtotals	\$ 350,000		68,219		\$ 1,281		\$ 419,500	
TOTAL COSTS	\$ 702,444		\$ 235,630	<To page 1>	\$ 10,092		\$ 948,166	

NOTES:

The detailed ICAP/ICRP spreadsheet should identify direct, indirect and unallowable costs that when added equal the audited financial records and/or approved budget document. If the audited financial records or approved budget document do not break out expenses by the three categories of costs then the submitting agency should identify in a schedule the breakout of expenses into these three categories and reference the total expenses to the audited financial records or approved budget document.

If there are schedule(s) that support any figure(s) in the ICAP/ICRP the schedule(s) should be referenced to the audited financial records / approved budget documents where the costs came from and those same audited financial records / approved budget documents should be submitted with the ICAP/ICRP package.

Any differences between the audited financial records and/or approved budget and the ICAP/ICRP amounts should be fully explained.

*** All unallowable costs should be identified as to the type of costs unallowed, (i.e. lobbying related, entertainment, etc.) If based on actual costs then reference the financial documents where the costs originated.

**ATTACHMENT E
SAMPLE ICAP/ICRP SCHEDULES**

FY 09/10 ACTUAL COSTS DETAILED FOR FY 11/12 CARRYFORWARD CALCULATION <See Note 1 Below>

The calculation should clearly show that unallowable costs are accounted for before the actual allowable indirect costs were calculated.

	Direct Expense	Reference	Indirect Expense	Reference	Unallowable Expense	Reference/ Foot Note	TOTAL	Reference:
Salaries	\$ 195,936		\$ 70,300		\$ 4,000	See *** below	\$270,236	<Audited Financial document at page/s _____>
Fringe Benefits (46.8517 %)	86,430		31,010		1,764		119,204	
Total	\$ 282,366		\$ 101,310		\$ 5,764		\$389,440	
	<To page 2>							
Indirect Costs								
Rent			\$ 35,885				\$ 35,885	<page 5>
Utilities			3,431				3,431	<page 5>
Telephone			2,830		\$ 200		3,030	
Advertising/Pub.	\$ 75,000		3,464				78,464	
Office Supplies			8,811				8,811	
Computer Supplies	5000		217				5,217	
Travel			5,993		581		6,574	
Contracts	3000		11,363				14,363	
Insurance			1,449				1,449	
Conference/training	1000		5,946		1400		8,346	
			955				955	
Subtotals	\$ 84,000		\$ 80,344		\$ 2,181		\$166,525	
TOTAL COSTS	\$ 366,366		\$ 181,654		\$ 7,945		\$555,965	
			<To page 2>					

NOTE: 1) The costs for the carryforward come from the audited actual costs two years prior to the ICAP/ICRP year submitted. Therefore the actual direct labor costs and other actual costs (by direct, indirect & unallowable) should be supported by the audited financial statements. If the audited financial statements do not provide the details then the general ledger detail that supports the audited financial statement should be provided and referenced. If the general ledger does not support the audited financial statements than those differences should be fully explained.

*** All unallowable costs should be identified as to the type of costs unallowed, (i.e. lobbying related, entertainment, etc.)

FOR EXAMPLE PURPOSES ONLY

ATTACHMENT E
SAMPLE ICAP/ICRP SCHEDULES

The example below shows the referencing of several accounts included in the Carryforward schedule for FY 09/10 actual costs. This is only an example your individual agency's ICAP/ICRP and schedule(s) are dependent upon your financial management system.

Fiscal Year 09/10 General Ledger

Account # XXXXXXXX
Account Rent

Date	Description	Amount
Jul-09	July Rent	\$ 2,987.92
Aug-09	August Rent	\$ 2,987.92
Sep-09	September Rent	\$ 2,987.92
Oct-09	October Rent	\$ 2,987.92
Nov-09	Nov. Rent	\$ 2,987.92
Dec-09	December Rent	\$ 2,987.92
Jan-10	Jan. Rent	\$ 2,987.92
Feb-10	February Rent	\$ 2,987.92
Mar-10	March Rent	\$ 2,987.92
Apr-10	April	\$ 2,987.92
May-10	May Rent	\$ 2,987.92
Jun-10	June Rent	\$ 2,987.92
	Total	<u>\$ 35,855.00</u> <page 4>

Account # XXXXXXXX
Account Utilities

Date	Description	Amount
Aug-09	Utility costs	\$ 625.20
Oct-09	Utility costs	\$ 530.20
Dec-09	Utility costs	\$ 515.90
Feb-10	Utility costs	\$ 525.19
Apr-10	Utility costs	\$ 580.45
Jun-10	Utility costs	\$ 654.06
	Total	<u>\$ 3,431.00</u> <page 4>

Note: All amounts reported in the ICAP/ICRP and supporting schedules must be supported by approved budget documentation and/or audited financial statements.

FOR EXAMPLE PURPOSES ONLY