San Francisco
County Transportation
Authority

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Memorandum

DATE: 06.29.22

TO: Prospective San Francisco Project Sponsors

FROM: Aprile Smith – Senior Transportation Planner

SUBJECT: One Bay Area Grant Cycle 3 County Call for Projects

APPLICATIONS DUE BY 5 P.M. ON FRIDAY, JULY 1, 2022

1. INTRODUCTION

The San Francisco County Transportation Authority (Transportation Authority) is pleased to announce a call for projects for $52,855,600 through the One Bay Area Grant Cycle 3 (OBAG 3) County Program for San Francisco over the next four years (Fiscal Year (FY) 2022/23 to FY 2025/26). We are also using this solicitation to inform the reprogramming of $1,021,021 in Prop AA vehicle registration fee funds.

In January 2022, the Metropolitan Transportation Commission (MTC) adopted the OBAG Cycle 3 County & Local Program Call for Projects Guidelines (Attachment 1). Through the OBAG County program, MTC directs federal funding to projects and programs that implement Plan Bay Area, with particular focus on projects that support Priority Development Areas (PDAs) – places near public transit planned for new homes, jobs, and community amenities (see Attachment 2 for a map of San Francisco PDAs). As the Congestion Management Agency (CMA) for San Francisco, the Transportation Authority is responsible for identifying San Francisco's OBAG 3 county priorities and submitting them to MTC by September 30th. MTC staff will evaluate the CMA project nominations using regional criteria and recommend a subset of projects from the regionwide candidate pool to their Commission in January 2023.

The Prop AA funds that are available for reprogramming are from the Transit Reliability and Mobility Improvements category and can fund the design or implementation of improvements such as transit stop improvements, transit signal priority, travel information improvements, parking management pilots, and transportation demand management.

This memo contains all the relevant information for submitting an application to the Transportation Authority for OBAG 3. The remaining sections of this memorandum are organized as follows:

1. Introduction

2. Call for Projects Schedule
3. Available Funds and Eligible Projects and Project Sponsors
4. Application Process
5. Screening and Prioritization Criteria
6. Monitoring and Support
7. For More Information

2. CALL FOR PROJECTS SCHEDULE

May 10, 2022	Transportation Authority Board approves SF OBAG 3 Framework on its first reading.
May 12, 2022	Transportation Authority issues OBAG 3 Call for Projects
May 19, 2022 10:30 a.m.	Transportation Authority Technical Working Group Meeting Workshop for potential applicants
May 24, 2022	Transportation Authority Board anticipated final approval of OBAG 3 County Framework
July 1, 2022 by 5 p.m.	Applications due to the Transportation Authority
August 18, 2022	Transportation Authority Technical Working Group Meeting Review draft OBAG 3 staff recommendation
September 7, 2022	Transportation Authority Community Advisory Committee – ACTION OBAG 3 San Francisco Project Nominations
September 13, 2022	Transportation Authority Board – PRELIMINARY ACTION OBAG 3 San Francisco Project Nominations
September 27, 2022	Transportation Authority Board – FINAL ACTION OBAG 3 San Francisco Project Nominations
September 30, 2022	Transportation Authority submits OBAG 3 San Francisco Project Nominations to MTC for evaluation
January 2023	MTC approves OBAG 3 projects and programs OBAG 3 funds

*Transportation Authority Board and Community Advisory Committee meeting dates and materials are subject to change. Please visit http://www.sfcta.org/meetings for the most up to date information.

3. AVAILABLE FUNDS AND ELIGIBLE PROJECTS AND PROJECT SPONSORS

This section provides information on the $52,855,600 in OBAG 3 and $1,021,021 in Prop AA funds available through this call for projects.

OBAG 3. As part of the OBAG 3 County Program, MTC set nomination targets for each county based on a formula that considers population and housing (Regional Housing Need Allocation, production, and additional weight based on affordability). To ensure a sufficient pool of project nominations, MTC is soliciting nominations for 120% of the available funding capacity for the County Program. With a total of $340 million available for programming regionwide, the nomination target for the nine Bay Area counties totals $408 million. San Francisco's estimated share of the OBAG 3 County Program is 15.2% or $62.138 million for our 120% target. Per San Francisco's OBAG 3 County Program Framework, we have $52,855,600 in OBAG 3 funds available for the San Francisco call for projects as summarized in Table 1 below. The federal OBAG funds are available to program in FYs 2022/23 through 2025/26.

Table 1. San Francisco OBAG 3 County Program Funding Framework Distribution

CMA Planning	$2,200,000
Safe Routes to School Non-Infrastructure Program	$7,082,400
Competitive Call for Projects	**$52,855,600**
Total Project Nomination Target (120%)	$62,138,000

The OBAG 3 County Program is funded with federal Surface Transportation Program and Congestion Mitigation and Air Quality Improvement Program funds, which will be assigned to specific projects by MTC as part of their project selection process. The funds may be programmed in FY 2022/23 to FY 2025/26, conditioned upon the availability of federal apportionment and obligation authority. We will work with MTC and project sponsors to match the most fitting sources with selected projects and will keep project sponsors updated of any changes in federal funding availability.

For OBAG 3 County Program, the minimum grant amount is $500,000 and there is no maximum grant amount beyond that which fits within the funds available. The local match is 11.47% in committed or programmed funds for the requested phase. For capital projects, sponsors may demonstrate fully funding the pre-construction phases (e.g. project development, environmental or design) with local funds and claim toll credits in lieu of a match for the construction phase. Once programmed in the federal Transportation Improvement Program (TIP), the funds must be obligated by FHWA or transferred to the Federal Transit Administration within the federal fiscal year the funds are programmed in the TIP. All OBAG 3 funds must be obligated no later than January 31, 2027.

Bay Area cities, counties, transit agencies, federally-recognized Tribal governments, and CMAs are eligible to apply (see Attachment 1 for additional sponsor requirements). Eligible project types include but are not limited to transit expansion, reliability, and access improvements; safety, streetscape, and complete streets improvements; transportation demand management programs including education and outreach, and mobility hub planning and implementation; Safe Routes to School capital and non-infrastructure programs; and PDA planning and implementation.

Prop AA. We will use the OBAG 3 call for projects to inform our recommendation for how to use $1,021,021 in FY 2021/22 Prop AA Transit category funds that we are recommending to be reprogrammed from the SFMTA's Transit Stop Signage Enhancement Program - Phase 2 project consistent with Prop AAs timely use of funds policies. In July 2020, the Board approved $1,043,898 for Phase 1 of the project, which has experienced delays due to the COVID pandemic, project management staffing, and a backlog at the SFMTA's sign shop. Prop AA has strict timely-use-of-funds requirements to help avoid situations where funds sit unused for prolonged periods of time given Prop AA's focus on delivering tangible benefits in the short term. Any project programmed within the Prop AA Strategic Plan that does not request allocation of funds in the year of programming may, at the discretion of the Transportation Authority Board, have its funding deobligated and reprogrammed to other projects through a competitive call for Prop AA projects. Given the delays on Phase 1, staff are recommending that we reprogram Phase 2 funds to an eligible transit project with near-term funding needs, to be identified through the OBAG 3 call for projects.

4. APPLICATION PROCESS

To apply, please submit an electronic version of the OBAG 3 application form (Attachment 3) and associated attachments in the original format (e.g. MS Word or Excel), as well as one PDF of the entire application, and a completed MTC Complete Streets Checklist (Attachment 4) via email to obag@sfcta.org by 5 p.m. on July 1, 2022. If a project is CMAQ eligible, please also include the Supplemental Air Quality Inputs Form (Attachment 5) in the application. Every project must have its own application. If a sponsor submits more

than one application, please indicate project priority order in the project applications. See MTC's Complete Streets website for more information on the checklist.

All resources required to complete the application will be available on the Transportation Authority's website at https://www.sfcta.org/obag3. This includes links to resources and guidance. Please let Transportation Authority staff know immediately if you have any issues accessing the resources or completing the application.

5. SCREENING AND PRIORITIZATION CRITERIA

Attachment 5 includes the project screening and prioritization criteria that we will use to determine San Francisco's OBAG 3 project nominations. MTC requires CMAs to use its established screening and prioritization criteria but allows us to add criteria to prioritize projects based on the needs within our county. The county nominated projects will go into the regionwide pool for evaluation and prioritization by MTC, making it important that San Francisco submit competitive projects.

Transportation Authority (CMA) Prioritization. San Francisco's evaluation criteria described in Attachment 5 take into consideration the need to position San Francisco projects to score well regionally since MTC will ultimately select projects from the regional pool of CMA-nominated projects.

Given the challenge of meeting the timely use of funds requirements on these federal OBAG funds and MTC's emphasis on deliverability, we will give strong consideration to project readiness when selecting projects. For more detail on the timely use of funds requirements, including deadlines for sponsors to receive federal authorization to spend the funds, please refer to MTC's Regional Project Delivery Policy Guidance (Attachment 6). In general, the more criteria a project satisfies and the better it meets them, the higher a project will be ranked within the San Francisco project nomination list.

MTC (Regional) Prioritization. MTC's project evaluation includes up to 75 points for CMA prioritization, 15 points for regional impact, and 10 points for deliverability, and projects that are eligible for federal air quality improvement funds can receive up to 10 points.

6. MONITORING AND SUPPORT

As CMA, the Transportation Authority is responsible for ensuring that projects are delivered in a timely manner, that the projects remain consistent with the original purpose and general scope approved by the Board and MTC, and that no OBAG funds are lost to San Francisco or the region. As such, sponsor agencies awarded OBAG 3 funds will be required to provide regular updates to Transportation Authority staff on project status and activities, and any issues that may affect project delivery and costs. We expect these updates in a timely

manner but no less frequently than quarterly via the Transportation Authority's online grant portal, available at https://portal.sfcta.org/. Ongoing communication enables Transportation Authority staff to assist with resolving issues and keep our commissioners and the public up to date on delivery of San Francisco's OBAG 3 program of projects.

7. FOR MORE INFORMATION

For more information or assistance with this call for projects, please email obag@sfcta.org or contact Aprile Smith at 415.522.4837 or via email at aprile.smith@sfcta.orgmailto: or Anna LaForte at 415-522-4805 or via email at anna.laforte@sfcta.org. The documents referenced herein are available on the Transportation Authority's website at https://www.sfcta.org/obag3.

Attachments

1. MTC OBAG 3 County & Local Program Call for Projects Guidelines and Project Selection and Programming Policies (MTC Resolution No. 4505, Appendix A-1 and Attachment A)
2. San Francisco Maps
    a. Priority Development Areas
    b. 2021 San Francisco Equity Priority Communities Map (https://www.sfcta.org/policies/equity-priority-communities)
3. Application Form
4. MTC Complete Streets Checklist and Guidance
5. Supplemental Air Quality Input Form for CMAQ-eligible Projects
6. Screening and Prioritization Criteria
7. MTC Regional Project Delivery Policy Guidance (Resolution 3606)

Appendix A-1: County & Local Program Call for Projects Guidelines

The One Bay Area Grant (OBAG 3) County & Local Program funding is available to projects through a competitive call for projects process, administered and selected by MTC in coordination with the nine Bay Area County Transportation Agencies (CTAs). MTC is responsible for call for projects oversight and final project selection.

To receive County & Local Program funding, CTAs and project sponsors must adhere to all OBAG 3 programming policies, including the call for projects guidelines. In the case of any conflict or inconsistency between these guidelines (MTC Resolution No. 4505, Appendix A-1) and the OBAG 3 Project Selection and Programming Policies (MTC Resolution No. 4505, Attachment A), the Project Selection and Programming Policies will be given precedence.

Program Requirements

Sponsor Requirements

Bay Area cities, counties, transit agencies, federally-recognized Tribal governments, and CTAs are eligible to apply for OBAG 3 County & Local Program funds. Cities and counties must meet the following requirements to receive program funding:

- Have a general plan housing element adopted and certified by the California Department of Housing and Community Development (HCD) for the 2023-31 Regional Housing Needs Allocation (RHNA) cycle by December 31, 2023, and maintain certification throughout the OBAG 3 program period;
- Submit Housing Element Annual Reports to HCD each year by the April 1 deadline throughout the OBAG 3 program period;
- Adopt a resolution self-certifying compliance with state housing laws related to surplus lands, accessory dwelling units, and density bonuses by December 31, 2023;
- Maintain ongoing compliance with the Housing Accountability Act (as determined by MTC staff) throughout the OBAG 3 program period;
- Adopt a Local Roadway Safety Plan (LRSP) or equivalent safety plan, as defined by the California Highway Safety Improvement Program (HSIP) guidelines, by December 31, 2023;
- Maintain a certified Pavement Management Program (StreetSaver® or equivalent), updated as prescribed by MTC staff;
- Fully participate in statewide local streets and road needs assessment surveys (including any assigned funding contribution); and
- Provide traffic count data to MTC to support FHWA's Highway Performance Monitoring System (HPMS) on an annual basis, or as directed by MTC staff.

The above requirements do not apply to sponsors with no general plan or land use authority, such as CTAs or transit agencies under a Joint Powers Agreement (JPA) or special district.

In addition, all recipients of OBAG 3 funding, including public agencies without land use authority as well as federally-recognized Tribal governments, are required to:

- Comply with MTC's Complete Streets Policy, and its successor, including the requirement to complete a Complete Streets Checklist for each project applying for OBAG 3 funding; and

- Comply with MTC's Regional Project Delivery Policy (MTC Resolution No. 3606), including identification of a staff position to serve as the single point of contact (SPOC) for the implementation of all FHWA-administered funds within that agency. The person in this position must have sufficient knowledge and expertise in the federal-aid delivery process to coordinate issues and questions that may arise from project inception to project close-out.

Project Requirements

Sponsors may apply to receive funding through the call for projects process for eligible project types, as detailed by program category in the County & Local Programs section of Attachment A. Projects must comply with OBAG 3 General Programming Policies, in addition to the programming policies specific to the County & Local Program.

For each project, sponsors must provide the following:

- A Complete Streets Checklist for each distinct project location using the Complete Streets web application (located at https://completestreets.mtc.ca.gov/). This checklist will be updated as part of MTC's Active Transportation Plan and Complete Streets Policy update, and sponsors will be required to complete the revised version, available by May 1, 2022. CTAs must make checklists available to their Bicycle and Pedestrian Advisory Committee (BPAC) for review prior to project nomination. For projects that have already submitted a Complete Streets checklist for prior cycles of regional discretionary funding, sponsors may be required to complete an updated checklist or complete a second checklist review with their BPAC, as determined on a case-by-case basis by MTC staff.
- For projects eligible for Congestion Mitigation and Air Quality Improvement Program (CMAQ) funds, the inputs necessary to assess the emissions benefits and cost-effectiveness of air quality improvements resulting from project implementation. Air quality calculation input forms are provided by project type on the OBAG 3 webpage (available at www.mtc.ca.gov/obag3) under "Partner Agency Resources."
- All projects selected by MTC for funding must provide a Resolution of Local Support, approved by the sponsor's governing body (template resolutions are available at https://mtc.ca.gov/funding/federal-funding/federal-highway-administration-grants/one-bayarea-grant-obag-3).
- All projects selected by MTC for funding must submit a project application, through MTC's Fund Management System (FMS), including a copy of the approved Resolution of Local Support.

PDA Minimum Investments

CTA nomination lists must meet or exceed the minimum threshold established for PDA supportive investments. For the North Bay counties of Marin, Napa, Solano, and Sonoma, the overall PDA supportive nominations must total 50% or more of the CTA's total funding request for that county. For the remaining counties of Alameda, Contra Costa, San Francisco, San Mateo, and Santa Clara, 70% or more of each CTA's funding request must consist of PDA supportive projects.

To be credited towards each county's PDA minimum investment threshold, a project must be located within or connected to a PDA, or be within one mile of a PDA boundary. Projects that are not physically located within one mile of a PDA but have a clear and direct connection to PDA implementation, such as

transit maintenance facility improvements, may also be credited towards the PDA minimum investment thresholds. Determinations for such projects will be provided by MTC staff on a case-by-case basis.

Projects which consist of countywide programs or activities, including funds dedicated to CTA planning and programming, are given partial credit towards each county's minimum investment threshold calculations (70% or 50%, in line with each county's minimum threshold).

Nomination Targets

County nomination targets establish the maximum funding request that each CTA may make through County & Local Program project nominations. Similar to prior OBAG cycles, these targets are based on population, recent housing production and planned growth, and housing affordability. However, the OBAG 3 nomination targets do not commit or imply a guaranteed share of funding to any individual county or jurisdiction.

To ensure a sufficient pool of projects for regional selection, MTC is soliciting nominations for 120% of the available funding capacity for the County & Local Program. Each CTA's nomination target is calculated as a percent share of this overall nomination total, using the following factors:

- **Population:** 50% of the nomination target is based on a county's share of the regional population, using 2021 population estimates from the California Department of Finance.
- **Housing Production:** 30% of the nomination target is based on a county's share of regional housing production during the current and previous Regional Housing Needs Allocation (RHNA) cycles (2007 to 2019), using building permit data compiled by the Association of Bay Area Governments (ABAG).
- **Planned Growth:** 20% of the nomination target is based on a county's share of regional housing allocations through the 2023-31 RHNA cycle.
- **Housing Affordability:** For housing production and RHNA factors, 60% of each factor is calculated based on the production or planned growth in affordable housing alone, while the remaining 40% considers all housing types. Affordable housing is defined as housing for very low-, low-, or moderate-income households, categories established by the California Department of Housing and Community Development (HCD) based on housing cost as a proportion of local area median income (AMI). For the purposes of calculating nomination targets, county-specific AMI values are used.
- **Planning and Implementation Balance:** Nomination targets may be further adjusted to ensure that no county receives a nomination target below the base planning amount programmed for that county. No such adjustments were necessary in developing the proposed nomination targets for OBAG 3.

The resulting nomination targets are detailed in the table below by county. CTAs may only nominate County & Local Program projects up to the target amounts listed below.

County	CTA	Nomination Share	Nomination Target
Alameda	Alameda County Transportation Commission	20.3%	$82,827,000
Contra Costa	Contra Costa Transportation Authority	13.9%	$56,775,000

Marin	Transportation Authority of Marin	2.8%	$11,544,000
Napa	Napa Valley Transportation Authority	1.5%	$6,143,000
San Francisco	San Francisco County Transportation Authority	15.2%	$62,138,000
San Mateo	City/County Association of Governments of San Mateo County	9.1%	$37,054,000
Santa Clara	Santa Clara Valley Transportation Authority	26.8%	$109,385,000
Solano	Solano Transportation Authority	4.7%	$19,159,000
Sonoma	Sonoma County Transportation Authority	5.6%	$22,975,000
CTA Nomination Totals (120% available funds)			**$408,000,000**
Funds Available (County & Local Program)			**$340,000,000**

In addition, CTAs are encouraged (but not required) to submit project nomination lists that align with the following regionwide County & Local Program funding targets and constraints:

- **Active Transportation Investment Target:** OBAG 3 establishes a regionwide target of $200 million for active transportation projects, including bicycle, pedestrian, and Safe Routes to School (SRTS) programs and projects. Bicycle and pedestrian elements included on projects that are not solely focused on active transportation (such as sidewalk or bike lane improvements included in a local road preservation project) also contribute to this regionwide investment target.
- **SRTS Investment Target:** OBAG 3 carries forward ongoing commitments to SRTS programming, by establishing a $25 million regionwide target for SRTS programs and projects. Qualifying projects also contribute to the broader active transportation investment target described above.
- **Fund Source Eligibility:** Fund source targets for the County & Local Program are proportional to the overall composition of OBAG 3 funding, estimated to be 60% Surface Transportation Block Grant Program (STP) funds and 40% CMAQ funds. As CMAQ is the more restrictive fund source, in effect this constraint requires that at least 40%, or $150 million, of County & Local Program funds be allocated to CMAQ-eligible projects.

Outreach Requirements

MTC partners with CTAs to conduct public engagement and local agency outreach for the County & Local Program call for projects, consistent with Title VI of the Civil Rights Act and associated federal requirements. The existing relationships CTAs have with local jurisdictions, elected officials, transit agencies, federally-recognized Tribal governments, community organizations and stakeholders, and members of the public within their respective counties make them well suited to assist MTC in this role.

CTAs should develop outreach plans consistent with this section, and each CTA must have their plan approved by MTC staff prior to initiating the call for projects activities in their respective county. In addition, CTAs are required to submit documentation to MTC demonstrating compliance with this section during the project nomination process. A list of acceptable outreach compliance documentation can be found below (page 7).

Public Engagement

As part of their call for projects process, CTAs are required to conduct countywide outreach and engagement with stakeholders and the public to solicit project ideas. CTAs are expected to implement their public outreach and engagement efforts in a manner consistent with MTC's Public Participation Plan (MTC Resolution No. 4174), which can be found at http://mtc.ca.gov/about-mtc/public-participation/public-participation-plan. CTAs should make every effort to follow current best practices related to virtual and in-person public participation, outreach, and engagement. CTAs should also make meaningful efforts to lower participation barriers for hard-to-reach populations, Limited English Proficient (LEP) speakers, people with disabilities, and those who are historically challenged from weighing in on public decision making processes.

At a minimum, MTC and CTAs are required to:

- Execute effective and meaningful local outreach and engagement efforts during the call for projects by working closely with local jurisdictions, elected officials, transit agencies, community-based organizations, other relevant stakeholders, and the public through the project solicitation process;
- Explain the local call for projects process, informing stakeholders and the public about methods for public engagement; relevant key milestones; the timing and opportunities for public comments on project ideas, including all standing public meetings and any County & Local Program call for projects-specific events and/or meetings; and when decisions are to be made on the list of projects to be submitted to MTC;
- Hold public meetings and/or workshops at times that are conducive to public participation to solicit public input on project ideas to submit;
- When possible, schedule meetings/events at times and locations that prioritize participation from Equity Priority Communities and other communities that have historically been systematically left out of the decision-making process;
- Post notices of public meetings and hearing(s) on their agency website; include information on how to request language assistance for individuals with limited English proficiency, as well as reasonable accommodations for persons with disabilities. If agency protocol has not been established, please refer to MTC's Plan for Assisting Limited English Proficient Populations at mtc.ca.gov/about-mtc/public-participation/get-language-assistance or the Americans with Disabilities Act;
- Offer language assistance[1] and accommodations for people with disabilities on all collateral materials and meeting notices. Establish a reasonable amount of time to request assistance in advance and include this information in materials and meeting notices;
- Hold in-person public meetings, when health protocols allow for in-person meetings to be safely held, in central locations that are accessible via multiple transportation modes,

[1] The Regional Housing Technical Assistance program has developed a useful reference document that outlines best practices for offering language translation services: https://abag.ca.gov/sites/default/files/documents/2021-11/Best_Practices_Multilingual_Engagement_10-2021.pdf.

especially public transit, and ensure all locations are accessible to persons with disabilities; and
- Respond to written public comments, and whenever possible, post all written comments to the agency's website and summarize how public feedback impacted the decision-making process.

CTAs with recent public engagement efforts relevant to the County & Local Program call for projects are encouraged to incorporate the results of these efforts into their project prioritization process, provided that such efforts are:
- Completed recently or concurrently (up to 12 month prior to the County & Local Program call for projects, with older but relevant outreach considered by MTC staff on a case-by-case basis);
- Sufficiently comprehensive to determine public support and priorities for transportation project types eligible for funding under OBAG 3 (for example, development of a Countywide Transportation Plan or Countywide Capital Improvement Program);
- Conducted in an accessible, equitable manner consistent with federal Title VI nondiscrimination requirements; and
- Supplemental to other, dedicated opportunities for public input on OBAG 3 County & Local Program funding specifically that meet the minimum outreach requirements detailed in the paragraph above.

Agency Coordination

CTAs are expected to work closely with regional stakeholders during the call for project process, including MTC, Caltrans, and potential project sponsors. At a minimum, MTC and CTAs are required to communicate the call for projects and solicit applications from all local jurisdictions, transit agencies, and federally recognized Tribal governments within their county boundaries. For counties with federally recognized Tribal governments within their jurisdictions, MTC and CTAs are required to offer opportunities for government-to-government consultation to the Tribes.

Title VI Responsibilities

Call for projects processes must be consistent with Title VI of the Civil Rights Act, and the associated Executive Order on Environmental Justice (EO 12898), which together prohibit discrimination in federally-assisted programs on the basis of race, ethnicity, or income. Public outreach to, and involvement of, individuals in low income and communities of color covered under Title VI is critical to both local and regional decisions. MTC and CTAs are required to ensure that underserved communities are provided opportunities for access and input to the project submittal process. This may include, but is not limited to, the following:
- Assisting community-based organizations, Equity Priority Communities, and any other underserved community interested in having projects submitted for funding; and
- Removing barriers for persons with limited-English proficiency and other communities that have historically been systematically left out of the decision-making process to have access to the project submittal process.

Resources and Documentation

CTAs may refer to MTC's Public Participation Plan for further guidance on Title VI outreach strategies, found at http://mtc.ca.gov/about-mtc/public-participation/public-participation-plan. Additional

resources related to Title VI, civil rights compliance, and virtual participation are available from these agencies:

- FHWA at http://www.fhwa.dot.gov/civilrights/programs/tvi.htm;
- Caltrans at http://www.dot.ca.gov/hq/LocalPrograms/DBE_CRLC.html#TitleVI;
- MTC at http://www.mtc.ca.gov/get_involved/rights/index.htm; and
- ABAG webinar: "Engage How To! Introduction to Remote Meeting Tools" at https://abag.ca.gov/our-work/housing/regional-housing-technical-assistance/training

Additionally, CTAs are encouraged to use the following resources to source MTC pre-approved consultant services for their outreach efforts:

- **Equity Consultant Bench:** for general support with outreach activities, available at https://mtc.ca.gov/sites/default/files/documents/2021-07/Equity_Bench_Consultant_Catalog_2021.pdf; and
- **Translation and Interpreter Services Consultant Bench:** for translation, interpretation, and American Sign Language (ASL) services to ensure meaningful access by Limited English Proficiency (LEP) populations (as required under Title VI) and provide accessibility accommodations (as required by the Americans with Disabilities Act), available at http://mtc.legistar.com/gateway.aspx?M=F&ID=5b527bad-4840-4614-8ce8-72d94770e4e6.pdf.

Both consultant benches include consultant firms pre-qualified by MTC through Request for Qualifications (RFQ) processes which included "Cooperative Use" language, allowing other agencies to use MTC's processes to satisfy their own contracting and procurement guidelines.

To demonstrate compliance with outreach requirements, CTAs are required to submit the following documentation to MTC staff by September 30, 2022:

- A copy of the CTA's public outreach and engagement plan, developed in coordination with MTC;
- Copies or text of public notice(s) of opportunities for members of the public to provide input on County & Local Program criteria and/or project nominations, which must include information on how to request language assistance and accessibility accommodations;
- A list of CBOs or other organizations representing potentially impacted groups that the CTA contacted for input on the County & Local Program;
- Dates, times, and locations of public meetings, hearings, and/or workshops where opportunity for public input on the County & Local Program was afforded;
- A summary of public input received during the call for projects process, and how such feedback, and the results of any relevant prior outreach, was used in the CTA evaluation and decision-making process;
- A description of correspondence and/or meetings with all applicable local jurisdictions, transit agencies, and federally-recognized tribal governments informing each of the call for projects opportunity; and
- If information from prior or concurrent outreach efforts was incorporated into the CTA's call for projects process, a narrative description of these efforts, how the results informed project prioritization, and how the CTA met the minimum public involvement requirements for the OBAG 3 call for projects described above.

County Screening and Evaluation

CTAs, in coordination with MTC, will solicit and collect project applications, screening applicants and projects for program eligibility, and initial scoring and/or ranking of projects. CTAs will develop individual application materials, deadlines, and processes for their county's call for projects, consistent with these overall program guidelines and subject to approval by MTC staff. At minimum, CTAs must incorporate the following regional criteria into their project evaluations.

- **Eligibility:** CTAs should screen potential sponsors and applications for eligibility with federal and regional requirements. Projects must be:
    - Eligible for STP or CMAQ funds, as detailed in 23 USC Sec. 133 and at https://www.fhwa.dot.gov/fastact/factsheets/stbgfs.cfm (STP), and in 23 USC Sec. 149 and at http://www.fhwa.dot.gov/environment/air_quality/ cmaq/policy_and_guidance/ (CMAQ);
    - Consistent with *Plan Bay Area 2050*, available at https://www.planbayarea.org/; and
    - Meet all OBAG 3 programming policy requirements described in these guidelines and in MTC Resolution 4505.
- **Alignment:** CTAs should evaluate projects for alignment with relevant federal and regional plans and policies. Additional weight should be given to projects that:
    - Are located in PDAs or Transit-Rich Areas (TRAs), identified in locally-adopted plans (e.g. Specific Plans) for PDAs, or support preservation of Priority Production Areas (PPAs), as defined in Chapter 1 of *Plan Bay Area 2050* and available for viewing or download at https://opendata.mtc.ca.gov/datasets/MTC::plan-bay-area-2050-growth-geographies/about;
    - Invest in historically underserved communities, which may include projects prioritized in a Community-Based Transportation Planning (CBTP) or Participatory Budgeting process, or projects located within Equity Priority Communities with demonstrated community support. Equity Priority Communities are defined in Chapter 1 *Plan Bay Area 2050* and described at https://mtc.ca.gov/planning/transportation/access-equity-mobility/equity-priority-communities;
    - Are located in jurisdictions with affordable housing protection, preservation, and production strategies, including an emphasis on community stabilization and anti-displacement policies with demonstrated effectiveness;
    - Implement multiple *Plan Bay Area 2050* strategies, described throughout the Plan (in particular, Chapters 2-5), or implementation actions (Chapter 7);
    - Advance Federal Performance Management Goals for safety, asset management, environmental sustainability and system performance, as detailed in 23 USC Sec. 105(b) and at https://www.fhwa.dot.gov/tpm/about/goals.cfm;
    - Demonstrate consistency with one or more of the following regional plans and policies:
        - Regional Safety/Vision Zero Policy (MTC Resolution No. 4400): https://mtc.ca.gov/tools-resources/digital-library/10a-20-0788-resono-4400-regional-safety-vz-policypdf
        - Equity Platform: https://mtc.ca.gov/about-mtc/what-mtc/equity-platform

    - Regional Active Transportation Plan (in development): https://mtc.ca.gov/funding/investment-strategies-commitments/climate-protection/regional-active-transportation-plan
    - Transit Oriented Communities Policy (update pending): https://mtc.ca.gov/planning/land-use/transit-oriented-development-tod-policy
    - Blue Ribbon Transit Transformation Action Plan: https://mtc.ca.gov/sites/default/files/documents/2021-09/Transit_Action_Plan_1.pdf
- **Community Support:** CTAs must prioritize project applications with demonstrated public support from communities disproportionately impacted by past discriminatory practices, including redlining, racial covenants, urban renewal, and highway construction that divided low-income and communities of color. Community support may be determined through a variety of means, including (but not limited to):
    - Responses to public outreach, including comments received at public meetings or hearings, feedback from community workshops, survey responses, etc.; and
    - Endorsement by a Community-Based Organization (CBO) representing historically and potentially impacted populations.
- **Deliverability:** CTAs must evaluate applicants and projects for potential deliverability issues, deprioritizing or excluding projects as needed based on risk. CTAs should ensure that project sponsors have sufficient agency capacity and technical expertise to complete projects in accordance with MTC's Regional Project Delivery Policy (available at https://mtc.ca.gov/funding/federal-funding/project-delivery) and meet OBAG 3 deadlines. Project sponsors must be able to obligate OBAG 3 funds no later than January 31, 2027.

CTA project evaluation criteria must be approved by both MTC staff and the CTA's governing board prior to initiating the call for projects activities in their respective county. CTAs may develop separate evaluation frameworks by project type, but each such framework must meet the requirements of this section.

Project Nominations

After completing initial project screening and evaluations, CTAs will submit project nominations and associated documentation to MTC for regional evaluation and project selection. Nomination lists must be approved by the CTA's governing board prior to submission to MTC. CTA project nomination packets are due to MTC by September 30, 2022, and must include the following elements:

- **Nomination List:** list(s) of eligible candidate projects for the OBAG 3 County & Local Program, ranked or scored according to the evaluation criteria developed by the CTA and approved by MTC staff. Nomination lists must comply with all OBAG 3 programming policies, including sponsor and project requirements, PDA minimum investments, and CTA nomination targets.
- **Board Approval:** signed resolution documenting CTA governing board action approving the County & Local Program project nomination list.
- **Outreach Documentation:** materials verifying CTA compliance with outreach requirements as described above.

- **Compliance Checklists:** completed checklists and supporting documentation affirming compliance with County & Local Program programming policies for both the CTA and each sponsor with a project on the nomination list. Checklists should be completed by the CTA, and must be signed by a signatory authority for the concerned agency. CTA and sponsor checklists are provided through the OBAG 3 webpage (available at www.mtc.ca.gov/obag3) under "Partner Agency Resources."

Regional Project Evaluation

Using the nomination packets provided by the CTAs, MTC staff will form a review committee composed of multidisciplinary group of staff members to complete a regional project evaluation process and develop a recommended subset of projects for adoption by the Commission. This process will consist of the following steps:

- **Eligibility Review:** MTC staff will review submitted documentation and ensure CTA, sponsor, and project compliance with applicable federal and regional policies. Any issues identified will be communicated to CTA staff, and projects with unresolved issues will be excluded from further consideration.
- **Regional Criteria:** members of the review committee will score projects using the following rubric:
    - CTA Prioritization (75 points): relative CTA project rank or score, scaled to a range of 0-75 and normalized across CTAs.
    - Regional Impact (15 points): project alignment with *Plan Bay Area 2050* strategies, anticipated effectiveness in advancing regional objectives, and contribution to regionally significant networks or facilities.
    - Deliverability (10 points): sponsor capacity to deliver the specified project, including consideration of prior performance on MTC-funded projects, and any anticipated risk to the project development schedule or funding plan.
    - Air Quality Improvement (10 points): for CMAQ-eligible projects relative cost-effectiveness of projects in reducing emissions for criteria air pollutants for the San Francisco Bay Area Air Basin and additional consideration for PM2.5 reducing projects.
- **Project Ranking Process:** candidate projects will be ranked according to their average review committee score. To ensure that high performing air quality improvement projects are prioritized for CMAQ funding, MTC staff will first develop a recommended list of eligible projects for CMAQ funding using the comprehensive rubric rankings (all eligible projects scored with a maximum possible score of 110 points and ranked from highest to lowest score). All remaining projects, including CMAQ-eligible projects not recommended for funding using this first method, will then be ranked with the air quality improvement portion of the rubric score excluded (all remaining projects scored with a maximum possible score of 100 points and ranked from highest to lowest score). The latter rankings will be used by MTC staff to develop a recommended list of projects for STP funding.
- **Program Balancing:** candidate projects will be initially prioritized according to their ranking as described above. However, to achieve programmatic investment thresholds, and ensure a balanced program of projects, MTC staff may adjust project prioritization based on the following factors:

- County PDA investment targets;
- Regionwide investment targets, including Active Transportation and SRTS investments;
- Relative STP and CMAQ availability; and
- Overall program balancing for a variety of project types, equitable investments, and geographic spread.

Using this process, MTC staff will develop a draft program of recommended projects for Commission adoption. MTC staff will coordinate with CTA staff to provide comments and feedback on the draft program of projects, and may refine the recommended program of projects accordingly.

Program Approval

The Commission will consider the recommended OBAG 3 County & Local Program projects in January 2023. Projects approved by the Commission for funding will be eligible for programming into the TIP starting in February 2023. Approved County & Local Program projects and any subsequent revisions by the Commission will be detailed in Attachment B-2.

Projects nominated by CTAs but not selected for funding by the Commission will automatically be considered for future eligible funding opportunities through the OBAG 3 Regional Program, or as additional programming capacity becomes available for the County & Local Program.

Date: January 26, 2022
W.E.: 1512
Referred by: PAC
Revised:

Attachment A
Resolution No. 4505

One Bay Area Grant (OBAG 3) Program

Project Selection and Programming Policies

One Bay Area Grant (OBAG 3) Program
Project Selection and Programming Policies

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Appendices

Appendix A-1 County & Local Program Call for Projects Guidelines (pending)
Appendix A-2 CTA and Local Jurisdiction Compliance Checklist (pending)

The One Bay Area Grant Program (OBAG 3) establishes the policy framework and commitments for investing federal Surface Transportation Block Grant Program (STP) and Congestion Mitigation and Air Quality Improvement Program (CMAQ) funds for a four-year period covering federal fiscal year (FY) 2022-23 through FY 2025-26. Attachment A outlines the OBAG 3 program principles and objectives, revenue estimates, program architecture, and programming policies. Attachment B details the projects, funding amounts, and project sponsors, as they are approved by the Commission.

Background

The Commission adopted the inaugural One Bay Area Grant Program (OBAG 1) in May 2012 (MTC Resolution 4035) to better integrate the region's federal transportation program with its Sustainable Communities Strategy (SCS). Pursuant to SB 375 (Steinberg 2008), the SCS aligns regional transportation planning with land use and housing in order to meet state greenhouse gas reduction targets. Since 2013, MTC and ABAG have jointly adopted a SCS along with MTC's long-range Regional Transportation Plan (RTP) every four years, with the documents collectively known as *Plan Bay Area*.

The OBAG 1 program established a framework for leveraging discretionary federal highway funding to support the implementation of *Plan Bay Area* by focusing transportation investments in Priority Development Areas (PDAs) and in jurisdictions producing and planning for new housing under the Regional Housing Needs Allocation (RHNA) process, among other strategies. The framework also consolidated funding sources and increased local agency flexibility to advance priority projects. OBAG 1 programming covered the five-year period from FY 2012-13 through FY 2016-17. Following the initial success of OBAG 1, the Commission adopted OBAG 2 in November 2015 (MTC Resolution 4202) with a similar framework and supporting policies. OBAG 2 programming covered the five-year period from FY 2017-18 through FY 2021-22.

In keeping with prior cycles, the proposed OBAG 3 framework is designed to advance the implementation of the region's latest RTP and SCS, *Plan Bay Area 2050*, adopted in October 2021.

Program Principles

The following principles, established through Commission direction and stakeholder input, guided the development of the OBAG 3 program and policies:

- **Preserve effective program features from prior OBAG cycles to support regional objectives.** Key aspects of the prior cycles are preserved under the proposed OBAG 3 County & Local Program, including concentrating transportation investments within PDAs, incorporating housing factors into the project prioritization process, and local jurisdiction policy requirements. Partnership with County Transportation Agencies (CTAs) to identify local community-based projects for funding that are consistent with regional goals is also continued.
- **Strategically advance *Plan Bay Area 2050* implementation through OBAG investments and policies.** As with OBAG 1 and 2, the primary objective of the OBAG 3 program, both the in the Regional and County & Local components, is to support the interconnected strategies of the RTP and SCS. With the adoption of *Plan Bay Area 2050*, OBAG 3 reflects new and updated implementation strategies as well as new Growth Geographies.

- **Incorporate recent MTC policy initiatives and adapt to the current mobility landscape.** In the years following the adoption of OBAG 2, MTC has undertaken several major policy initiatives which were taken into consideration in the development of OBAG 3. These policy actions include adoption of the MTC Equity Platform, Regional Safety/Vision Zero Policy, and Express Lanes Strategic Plan, and completion of the Transit Transformation Action Plan. In addition, the OBAG 3 program takes into account sustainable staffing levels necessary to implement continued and new initiatives.
- **Advance equity and safety through policies and investments.** Building off the principles of the MTC Equity Platform, the OBAG 3 framework integrates cross-cutting equity considerations into each of its proposed program areas. In addition, while the program requirements stop short of mandating local Vision Zero policies, jurisdictions will be required to adopt Local Road Safety Plans (or equivalent safety plans), and priority will be given to funding projects that align with and support these plans. OBAG 3 also significantly increases funding levels for Healthy, Safe, and Sustainable Streets projects and implementation of projects in Equity Priority Communities that have been prioritized through Community-Based Transportation Plans or Participatory Budgeting processes.
- **Address federal planning and programming requirements.** As the federally-designated Metropolitan Planning Organization (MPO) for the Bay Area, MTC is responsible for regional transportation planning and programming efforts, including performance-based requirements. OBAG 3 documents and clarifies MTC's roles and responsibilities for programming STP and CMAQ funding, including the areas of project selection and funding distribution processes, and the prioritization process for CMAQ funds.
- **Coordinate with complementary fund sources to develop a comprehensive regional investment strategy.** Recognizing that STP and CMAQ funds constitute a relatively limited proportion of the total transportation funding available to the region, the OBAG 3 program is designed in coordination with other complementary existing and anticipated fund sources to implement the ambitious strategies laid out in *Plan Bay Area 2050*.
- **Emphasize a shared, partnership approach to program implementation.** OBAG 3 preserves and continues to build upon the robust partnerships with CTAs, transit agencies, Caltrans, and local jurisdictions established through prior programming cycles. The program architecture and policies recognize and uphold local expertise in project development and prioritization, while providing a framework for all stakeholders to work together to advance shared regional priorities.

Revenue Estimates

OBAG 3 programming capacity is based on anticipated federal transportation program apportionments from the regional Surface Transportation Block Grant (STP) and Congestion Mitigation and Air Quality Improvement (CMAQ) programs for a four-year period covering FY 2022-23 through FY 2025-26.

Over the four year OBAG 3 period, $750 million in STP/CMAQ programming capacity is estimated. Additional STP/CMAQ apportionments beyond that amount are anticipated from the recently enacted Infrastructure Investment and Jobs Act (IIJA). When actual STP/CMAQ apportionments from IIJA are made available, or if additional federal programs are authorized or appropriated during the OBAG 3 period, the Commission may adjust the programming capacity accordingly. Such adjustments include increasing or decreasing funding amounts to one or more programs, postponement of projects, expansion of existing programs, development of new programs, or adjustments to subsequent program cycles.

As federal programs are subject to change with each federal surface transportation authorization, any reference to specific fund sources in the OBAG 3 programming resolution (i.e. STP/CMAQ) serve as a proxy for replacement or new federal fund sources for which MTC project selection and programming authority. However, MTC may elect to program replacement or new federal fund sources outside of the OBAG 3 program resolution.

OBAG 3 programming capacity is based upon apportionment rather than obligation authority. As the amount of obligation authority available to the region is less than the region's annual apportionments, there is typically a carryover balance of apportionment each year. MTC's successful project delivery in recent years has allowed the region to capture additional, unused obligation authority from other states, enabling the region to advance the delivery of additional projects each year. MTC staff will continue to monitor apportionment and obligation authority balances throughout the OBAG 3 period to support the accelerated delivery of programmed projects.

Program Categories

The OBAG 3 program categories carry forward elements from previous OBAG cycles, reorganized for clarity and refined to more closely align with *Plan Bay Area 2050* strategies, advance regional goals for equity and safety, and address federal performance-based programming requirements. These revised categories further integrate the Regional Programs and County & Local Programs by providing a common framework for project types and focus areas. The five OBAG 3 program areas and corresponding objectives are as follows:

- **Planning & Program Implementation:** Carry out coordinated regional and countywide planning and programming activities within MTC's performance-based planning and programming processes, consistent with federal requirements and regional policies. Additionally, commit staffing resources necessary to deliver OBAG 3 projects and programs.
- **Growth Framework Implementation:** Support and assist with local efforts to create a range of housing options in PDAs, select Transit-Rich Areas (TRAs), and select High-Resource Areas (HRAs), and carry out other regional studies, programs, and pilots to advance the *Plan Bay Area 2050* growth framework.
- **Climate, Conservation, and Resilience:** Reduce emissions and solo vehicle trips through accelerated electrification and clean vehicle programs and expanded transportation demand management programs. Additionally, protect high-priority natural and agricultural

lands; modernize and expand access to parks, trails, and recreation facilities; and increase transportation system resiliency to the impacts of climate change.

- **Complete Streets and Community Choice:** Improve and maintain local streets and roads to meet the needs of all users while improving safety, promoting walking, biking and other micro-mobility, and sustainable infrastructure. In addition, support community-led planning efforts and assist with the development and advancement of community-led transportation enhancements in Equity Priority Communities (EPCs).
- **Multimodal Systems Operations and Performance:** Support and coordinate efforts to achieve an integrated, efficient, reliable, and easy to navigate public transit network to increase ridership and improve mobility options consistent with the Transit Transformative Action Plan recommendations. Additionally, continue to optimize existing freeways, highways, key arterials, and communications infrastructure to maximize person throughput and multimodal system performance.

Similar to previous OBAG cycles, the OBAG 3 program structure is divided into Regional and County & Local components, with the latter programs comprising of projects selected by MTC and nominated by CTAs through a unified call for projects process. Both the Regional and County & Local programs are organized around the five categories listed above.

REGIONAL PROGRAMS

OBAG 3 directs 50% of available program funds towards regional investments that are targeted to address critical climate and focused growth goals of *Plan Bay Area 2050*, and coordinate and deploy strategies that are best suited for regional implementation. As specific regional projects and programs are approved by the Commission for funding, they will be added to Attachment B-1.

Planning & Program Implementation

The Planning & Program Implementation program supports a variety of regional planning, programming, and outreach activities to implement *Plan Bay Area 2050* and comply with performance-based planning and programming requirements. This program category also includes dedicated resources and staffing support to deliver OBAG 3 projects and programs.

Growth Framework Implementation

The purpose of this program is to support and assist local efforts to create a range of housing options that align with *Plan Bay Area 2050* growth geographies, with a focus on completing approved plans for all existing PDAs by 2025. Funding from this program will provide capacity-enhancing support for local jurisdictions through the PDA Planning and Technical Assistance Grant program and the Regional Housing Technical Assistance program. These funds will also support implementation of MTC's Transit Oriented Development (TOD) Policy, or its successor, to ensure land use supports future transit investments. In addition, this program may fund regional land-use studies, programs, and pilot projects identified in *Plan Bay Area 2050 Implementation Plan*. Such studies could include redevelopment of malls and office parks, reuse of public and community-owned land, or a Priority Production Area (PPA) pilot program.

Climate, Conservation, and Resilience

Funding from this program supports a suite of interconnected objectives, including reduced vehicle emissions through accelerated electrification and transportation demand management, protection of high-priority natural and agricultural lands, expanded access to parks and open space, and increased resiliency of the transportation system to the impacts of climate change. These goals align with regional transportation and environmental strategies outlined in *Plan Bay Area 2050*.

Within the Regional Program, this category includes expanded investments to accelerate electrification, as well as a variety of emission reduction strategies and transportation demand management programs. Programs may include Mobility Hubs, Targeted Transportation Alternatives, car sharing, bikeshare and e-bike incentives; carpool programs; Commuter Benefits Program and targeted commuter programs; and assistance for the development of local demand management policies and programs.

The regional Priority Conservation Area (PCA) program provides grant funding for critical conservation and open space projects. Grants will be available to support the implementation of the updated PCA framework (currently underway).

This program category also includes a new regional resilience and sea level rise pilot to support the protection of vulnerable transportation assets from sea level rise and other climate impacts.

Complete Streets and Community Choice

This program is intended to improve and maintain local streets and roads to meet the needs of all users while increasing safety, with an emphasis on supporting the development and advancement of community-led transportation enhancements in EPCs.

Regional Program funding in this program category will implement recommendations of the Regional Active Transportation Plan, or its successor, including compliance with the Regional Complete Streets Policy and the implementation of the Regional Active Transportation Network. The program also continues technical assistance programs, and supports completion of key Bay Trail gaps. The program will also advance the Regional Safety/Vision Zero Policy, including support for the Regional Integrated Safety Data System and other regional safety initiatives, coordination efforts, and technical assistance. Ongoing regional programs that support local streets and roads asset management, including StreetSaver, StreetSaver Plus, and the Pavement Technical Assistance Program, are broadened to include upgrades to local roadway asset inventories to support complete streets and safety strategies, as well as encouraging green infrastructure, where possible.

Funding in this program category will also support increased regional investment in Community-Based Transportation Plans (CBTPs) and Participatory Budgeting (PB) processes, and provide a dedicated source of funding for the acceleration and delivery of projects identified through community plans and participatory budgeting efforts.

Multimodal Systems Operations and Performance

The purpose of this program is to improve mobility options across the Bay Area's multimodal transportation system and emphasizes achieving an integrated, efficient, reliable, and easy to navigate public transit network to increase ridership and improve mobility options.

Regional Program funding in this program category supports implementation of near-term priorities identified through the Blue Ribbon Transit Transformation Action Plan, as well as planning, design, and implementation of near-term operational improvements, incident management, and deployment of regional fiber communications infrastructure on the region's existing freeways and highways. Regional projects and programs to be funded include Bay Area Forwards, transit priority improvements, and additional freeway and arterial operational improvements.

COUNTY & LOCAL PROGRAMS

OBAG 3 directs the remaining 50% of available funding for local and county projects prioritized through a call for projects process selected by MTC. Local jurisdictions, transit agencies, and CTAs may apply for these funds for a variety of project types and program categories described below. As specific projects and programs are approved by the Commission for funding within the County & Local Program, they will be added to Attachment B-2.

Planning & Program Implementation

Similar to prior cycles, OBAG 3 provides dedicated funding within the County & Local Program to support planning and programming activities throughout the nine Bay Area counties. Administered by MTC through funding agreements with each CTA, these funds are used to cooperatively implement *Plan Bay Area 2050* and associated regional policies, development of countywide transportation plans, outreach activities, and the advancement of additional plans and projects as determined by MTC. CTAs may request additional funding to augment these base funding levels for countywide planning and programming through the call for projects process.

Growth Framework Implementation

The OBAG 3 County & Local Program continues to focus investments in PDAs through investment thresholds.

- **PDA Minimum Investments:** In the Bay Area's most populous counties (Alameda, Contra Costa, San Mateo, San Francisco, and Santa Clara), a minimum of 70% of County & Local Program investments must be directed to PDAs. In the remaining counties (Marin, Napa, Solano, and Sonoma), a minimum of 50% in County & Local Program investments must be directed to PDAs. Funds programmed for CTA planning and programming activities are given partial credit towards each county's minimum investment threshold calculations (70% or 50%, in line with each county's minimum threshold).
- **Uniform Definition for PDA Supportive Projects:** To be credited towards each county's PDA minimum investment threshold, a project must be located within or connected to a PDA, or be within one mile of a PDA boundary. Projects that are not physically located within one mile of a PDA but have a clear and direct connection to PDA implementation, such as transit maintenance facility improvements, may also be credited towards the PDA minimum investment thresholds. Determinations for such projects will be provided by MTC staff on a case by case basis.

- **Housing Element:** Cities and counties must have a general plan housing element adopted and certified by the California Department of Housing and Community Development (HCD) for the 2023-2031 Regional Housing Needs Allocation (RHNA) to maintain eligibility for County & Local Program funding. Projects that are awarded funding to a jurisdiction through the call for projects process will not be programmed into the TIP until the jurisdiction's housing element has been certified. After December 31, 2023, MTC will deprogram County & Local Program funds awarded to jurisdictions that do not yet have a certified housing element. After this date, MTC, in coordination with CTAs, will reprogram these funds to projects located in compliant jurisdictions.

  Additionally, jurisdictions must submit Housing Element Annual Reports to HCD by April 1 every year throughout the OBAG 3 program period to maintain funding eligibility.

- **State Housing Laws:** To maintain funding eligibility, all cities and counties must demonstrate compliance with state housing laws related to surplus lands, accessory dwelling units, density bonuses, and the Housing Accountability Act. Jurisdictions are required to self-certify compliance with the first three elements (state housing laws related to surplus lands, accessory dwelling units, and density bonuses) through a local resolution. Projects that are awarded funding to a jurisdiction through the call for projects process will not be programmed into the TIP until such a resolution is adopted. After December 31, 2023, MTC will deprogram County & Local Program funds awarded to jurisdictions that have not yet adopted a resolution affirming compliance. After this date, MTC, in coordination with CTAs, will reprogram these funds to projects located in compliant jurisdictions. Self-certification resolutions must be adopted by local jurisdictions and submitted to MTC by December 31, 2023 to maintain eligibility for County & Local Program funding.

  Compliance with the Housing Accountability Act is an ongoing program requirement, which may be monitored by MTC staff as appropriate. MTC may deprogram County & Local Program funds awarded to a jurisdiction that it determines to be out of compliance with the Housing Accountability Act.

In addition to focusing investments in PDAs, the County & Local Program supports mobility and access projects that serve additional *Plan Bay Area 2050* growth geographies, such as select TRAs and HRAs. Eligible projects in these growth areas will also be given consideration through the call for projects process.

Eligible project types for the County & Local Program that directly support the Growth Framework Implementation program category include:

- Local PDA Planning grants (in addition to those funded through the Regional Program)
- Local planning grants for other new *PBA 2050* Growth Geographies

Climate, Conservation, and Resilience

The County & Local Program supports regional coordination in the Climate, Conservation, and Resilience program category by identifying and funding additional local projects to achieve the interconnected goals to reduce emissions, protect and improve access to priority open spaces, and increase transportation system resiliency through the call for projects process.

Eligible project types for the County & Local Program that fall within the Climate, Conservation, and Resilience program category include:

- Transportation demand management programs
- Mobility Hub planning and implementation
- Parking reduction and curb management programs
- Car share and bike share capital projects
- Plans and projects to assist in the preservation and enhancement of open space, natural resource and agricultural lands, and critical habitats (may require non-federal funds)
- Bicycle and pedestrian access to open space and parklands
- Regional Advance Mitigation Planning (RAMP) planning activities and implementation (may require non-federal funds)

Complete Streets and Community Choice

The County & Local Program plays a critical role in meeting the objectives of Complete Streets and Community Choice by funding local improvements to local streets and roads to improve safety and meet the mobility needs of all users, as well as advancing transportation enhancements that have been vetted and prioritized by residents of Equity Priority Communities.

- **Active Transportation Investment Target:** OBAG 3 establishes a regionwide target of $200 million for active transportation projects, including bicycle, pedestrian, and Safe Routes to School (SRTS) programs and projects. Bicycle and pedestrian elements included on projects that are not solely focused on active transportation (such as sidewalk or bike lane improvements included in a local road preservation project) also contribute to this regionwide investment target.
- **SRTS Investment Target:** OBAG 3 carries forward ongoing commitments to SRTS programming, by establishing a $25 million regionwide target for SRTS programs and projects.
- **Complete Streets Policy:** Jurisdictions must comply with MTC's Complete Streets Policy, and its successor, including the requirement to complete a Complete Streets Checklist for each project applying for OBAG 3 funding. As part of the County & Local Program call for projects, CTAs are required to make completed project checklists available to their Bicycle and Pedestrian Advisory Committee (BPAC) for review prior to the CTA's nomination of prioritized projects to MTC.
- **Regional Safety/Vision Zero Policy:** Starting with California Highway Safety Improvement Program (HSIP) Cycle 11, jurisdictions are required to have a Local Roadway Safety Plan (LRSP) or equivalent safety plan in order to be eligible for HSIP funding. Consistent with this

state requirement, local jurisdictions must have a LRSP or equivalent safety plan adopted in order to maintain eligibility for County & Local Program funding. Projects that are awarded funding to a jurisdiction through the call for projects process will not be programmed into the TIP until the jurisdiction has a LSRP or equivalent safety plan completed or underway. After December 31, 2023, MTC will deprogram County & Local Program funds awarded to jurisdictions that do not yet have a completed LSRP or equivalent safety plan. After this date, MTC, in coordination with CTAs, will reprogram these funds to projects located in compliant jurisdictions. Jurisdictions OBAG 3 funds may be used to complete an LRSP or equivalent safety plan.

- **Pavement Management Program:** To maintain County & Local Program funding, jurisdictions with local public streets and roads, must:
    - Maintain a certified Pavement Management Program (StreetSaver® or equivalent) updated as prescribed by MTC staff
    - Fully participate in statewide local streets and road needs assessment surveys (including any assigned funding contribution)
    - Provide traffic count data to MTC to support FHWA's Highway Performance Monitoring System (HPMS) on an annual basis, or as directed by MTC staff

Eligible project types for the County & Local Program that align with the Complete Streets and Community Choice program category include:

- Bicycle and pedestrian improvements and programs
- SRTS projects and programs
- Safety projects, local road safety plans (LRSP), and Vision Zero planning activities
- Complete streets and sustainable streets improvements
- Streetscape projects to encourage biking, walking, and transit use
- Example project elements include bulb outs, sidewalk widening, crosswalk enhancements, audible signal modification, mid-block crossing and signals, new striping for bicycle lanes and road diets, pedestrian street lighting, medians, pedestrian refuges, wayfinding signage, tree grates, bollards, permanent bicycle racks, signal modification for bicycle detection, street trees, raised planters, planters, costs associated with on-site storm water management, permeable paving, and pedestrian-scaled street furniture including bus shelters, benches, magazine racks, and garbage and recycling bins.
- Local streets and roads preservation projects on the federal-aid system. Projects should be based on a needs analysis from the jurisdiction's Pavement Management Program:
    - Pavement rehabilitation projects must be consistent with segments recommended for treatment within the programming cycle by the jurisdiction's PMP. Preventive maintenance projects with a PCI rating of 70 or above are eligible only if the jurisdiction's PMP demonstrates that the preventive maintenance strategy is a cost-effective method of extending the service life of the pavement.
    - Eligible non-pavement activities include rehabilitation or replacement of existing features on the roadway facility, such as bridge structures, storm drains, National Pollutant Discharge Elimination System (NPDES), curbs, gutters, culverts, medians, guardrails, safety features, signals, signage, sidewalks, ramps, complete streets elements, and features that bring the facility to current standards.

(Continued)

- Federal Aid Secondary (FAS) rural road improvements are eligible for the following five counties: Alameda, Contra Costa, Santa Clara, Solano, and Sonoma. The counties of Marin, Napa, and San Mateo receive FAS funding from Caltrans as "off the top amounts" prior to distributing regional STP amounts to MTC. San Francisco County is not eligible for FAS funding, as it does not have rural roads. FAS funding amounts for eligible counties are determined by California's Federal-Aid Secondary Highways Act (California Code § 2200-2214).
- Projects and programs prioritized in CBTPs and PB processes, which may include any of the above project types and project elements, as well as a variety of transit capital improvements.
- Community-based transportation plans or participatory budgeting processes in Equity Priority Communities (in addition to CBTP and PB processes administered through the Regional Programs)

Multimodal Systems Operations and Performance

The County & Local Program can support regional coordination and implementation the Multimodal Systems Operations and Performance program category by funding additional local projects to improve mobility options and performance of the Bay Area's existing multimodal transportation system, particularly on arterials and along fixed-route transit; or by nominating County & Local Program funds to match or augment Regional Program funds for these types of projects.

Eligible project types for the County & Local Program within the Multimodal Systems Operations and Performance program category include:

- Transit capital improvements, including vehicles for new or expanded service
- Transit station improvements such as plazas, station access improvements, bicycle parking, and replacement parking or parking management for Transit Oriented Development (TOD)
- Local actions to advance implementation of the Transit Transformation Action Plan
- Cost-effective, technology-driven active operational management strategies for local arterials and highways (for highways, when used to augment state or federal funds and developed/implemented in coordination with MTC)
- Mobility management and coordination projects that meet the specific needs of seniors and individuals with disabilities and enhance transportation access for populations beyond those served by one agency or organization within a community. Examples include the integration and coordination of services for individuals with disabilities, seniors, and low-income individuals; individualized travel training and trip planning activities; development and operation of one-stop transportation traveler call centers to coordinate transportation information on all travel modes and to manage eligibility requirements and arrangements for customers among supporting programs; and the operation of transportation brokerages to coordinate providers, funding agencies, and passengers.

Activities *not eligible* for funding include: air quality non-exempt projects, new roadways, roadway extensions, right of way acquisition for future expansion, operations, and routine maintenance.

Project Lists

Attachment B of Resolution 4505 contains the list of projects to be programmed under the OBAG 3 program. Attachments B-1 and B-2 list the projects receiving OBAG 3 funding through the Regional Programs and County & Local Programs, respectively. The project lists are subject to MTC project selection actions. MTC will update Attachments B-1 and B-2 as projects are selected or revised by the Commission.

Programming Policies

GENERAL POLICIES

The following programming policies apply to all projects funded in OBAG 3:

1. **RTP Consistency:** Projects funded through OBAG 3 must be consistent with the adopted Regional Transportation Plan (RTP), currently *Plan Bay Area 2050*. As part of the project selection and TIP programming processes, project sponsors must identify each project's relationship with meeting the goals and objectives of the RTP, including the specific RTP ID number or reference. RTP consistency will be verified by MTC staff for all OBAG 3 projects as part of the project selection and TIP programming processes.
2. **Federal Fund Eligibility:** Projects must be eligible for STP or CMAQ funds in order to be selected for OBAG 3 programming of those fund sources. However, eligibility for STP or CMAQ alone does not guarantee eligibility for funding through the OBAG 3 program. Projects must meet all program requirements and project selection criteria to be eligible for OBAG 3 funds.
    - STP is a flexible source of federal funding, with a wide range of projects that may be considered eligible. Eligible projects include roadway and bridge improvements (construction, reconstruction, rehabilitation, resurfacing, restoration), public transit capital improvements, pedestrian and bicycle facilities and programs, highway and transit safety projects, transportation demand management, and transportation planning activities. More detailed eligibility requirements can be found in 23 U.S.C. § 133 and at: https://www.fhwa.dot.gov/fastact/factsheets/stbgfs.cfm.
    - CMAQ is a more targeted federal funding source for transportation projects that generate emissions reductions that benefit a nonattainment or maintenance for ozone, carbon monoxide, or particulate matter. Eligible project categories that meet this basic criteria include: Transportation Control Measures (TCMS) in an approved State Implementation Plan (SIP), transit expansion projects, transit vehicles and equipment, bicycle and pedestrian facilities and programs, travel demand management, public education and outreach activities, congestion reduction and traffic flow improvements, carpool, vanpool, and carshare programs, travel demand management, outreach and rideshare activities, telecommuting programs, and intermodal freight projects. For more detailed eligibility information, refer to 23 U.S.C. § 149 and at: http://www.fhwa.dot.gov/environment/air_quality/ cmaq/policy_and_guidance/.
3. **Air Quality Conformity:** In the Bay Area, it is the responsibility of MTC to make a regional air quality conformity determination for the TIP in accordance with federal Clean Air Act

requirements and Environmental Protection Agency (EPA) conformity regulations. MTC evaluates the impact of the TIP on regional air quality during the update of the TIP. Non-exempt projects that are not incorporated in the current finding for the TIP will not be considered for funding in the OBAG 3 program until the development of a subsequent air quality finding for the TIP. Additionally, the EPA has designated the Bay Area as a non-attainment area for fine particulate matter ($PM_{2.5}$). Therefore, based on consultation with the MTC Air Quality Conformity Task Force, projects deemed Projects of Air Quality Concern (POAQC) for $PM_{2.5}$ must complete hot-spot analyses as required by the Transportation Conformity Rule. Generally, POAQC are those projects that result in significant increases in, or concentrations of, emissions from diesel vehicles.

4. **Public Involvement.** MTC is committed to a public involvement process that is proactive and provides opportunities for continuing involvement, comprehensive information, timely public notice, and public access to key decisions. MTC provides many methods to fulfill this commitment, as outlined in the *MTC Public Participation Plan*. The Commission's adoption of the OBAG 3 project selection and programming policy meets the provisions of the *MTC Public Participation Plan*. MTC's Policy Advisory Committee and the Bay Area Partnership working groups are consulted in the development of funding commitments and policies for OBAG 3. Additional opportunities for public and stakeholder involvement will be provided throughout the OBAG 3 program period as specific programs are developed.

   OBAG 3 investments must be consistent with federal Title VI requirements. Title VI prohibits discrimination on the basis of race, color, income, and national origin in programs and activities receiving federal financial assistance. Public outreach to and involvement of individuals in low income and minority communities covered under Title VI of the Civil Rights Act and the Executive Order pertaining to Environmental Justice is critical to both local and regional decisions.

   Additional details on the public involvement requirements for the County & Local Program, including Title VI considerations, are provided in Appendix A-1. The current *MTC Public Participation Plan* is available online at: https://mtc.ca.gov/about-mtc/public-participation/public-participation-plan.

5. **Project Selection Processes:** The OBAG 3 program categories are designed to reflect the investment priorities established in *Plan Bay Area 2050*. Within these program categories, MTC selects projects for STP and CMAQ funding that are consistent with *Plan Bay Area 2050*, and with consideration of their achievement toward regional targets of federal performance goals, and project delivery.

6. **CMAQ Project Selection:** Additional project selection processes guide MTC's programming of CMAQ funds. MTC referred to FHWA's CMAQ Cost Effectiveness Tables (2020), emissions reductions benefits of OBAG 2 CMAQ projects, regional strategies in the Bay Area Air Quality Management District's (BAAQMD's) *Clean Air Plan*, and *Plan Bay Area 2050* air quality improvement strategies to develop CMAQ programmatic priorities for the OBAG 3 program. The CMAQ programmatic priorities to reduce emissions through vehicle miles traveled reduction include: bicycle and pedestrian facilities and programs, transit capital improvements, carpool, vanpool, rideshare, and travel demand management. CMAQ programmatic priorities to

otherwise reduce transportation emissions reductions include: alternative fuel infrastructure and programs, traffic flow improvements, and incident management. Programmatic priorities are intended to guide initial program development, and do not preclude other project types from being selected for CMAQ funds.

- ***Regional Programs.*** CMAQ programmatic priorities are used to develop a proposed focus for CMAQ funds within various components of the Regional Programs. All regional projects that are eligible for CMAQ funding will be assessed for emissions reductions benefits and cost effectiveness prior to CMAQ project selection.
- ***County & Local Program.*** As part of the call for projects process, project sponsors will provide project data necessary to assess the emissions benefits and cost effectiveness for projects eligible for CMAQ funding. These assessments will be incorporated into the prioritization and CMAQ project selection as described in Appendix A-1.

7. **TIP Programming:** Projects approved as part of the OBAG 3 program must be amended into the federal Transportation Improvement Program (TIP). The federally-required TIP is a comprehensive listing of transportation projects that receive federal funds, are subject to a federally required action, or are regionally significant for air quality conformity or modeling purposes. OBAG 3 project funding must first be approved by the Commission through revision to the Attachment B before it can be amended into the TIP.

   Once a project has been selected for funding and is programmed in Attachment B, project sponsors must submit the project information into MTC's Fund Management System (FMS) in order for the project to be amended into the TIP. Proper submittal of project information into FMS is required for inclusion into the TIP in a timely manner. Additional information on FMS is available here: https://mtc.ca.gov/funding/fund-management-system-fms.

8. **Resolution of Local Support:** a Resolution of Local Support approved by the project sponsor's governing board or council and submitted in FMS. A template for the Resolution of Local Support can be downloaded from the MTC website using the following link: https://mtc.ca.gov/funding/federal-funding/federal-highway-administration-grants/one-bay-area-grant-obag-3.

9. **Local Match:** Although local match requirements are subject to change, the current local match requirement for STP and CMAQ funded projects in California is 11.47% of the total project cost, with FHWA providing up to 88.53% of the total project cost through reimbursements. For capital projects, sponsors that fully fund the project development or Preliminary Engineering (PE) phase with non-federal funds may use toll credits in lieu of a match for the construction phase. For these projects, sponsors must still meet all federal requirements for the PE phase.

   Per the Regional Toll Credit Policy (MTC Resolution No. 4008), MTC may use toll credits to waive the local match requirements for programs and projects of regional significance, such as ongoing regional programs and planning efforts.

10. **Environmental Clearance:** Project sponsors are responsible for compliance with the requirements of the California Environmental Quality Act (Public Resources Code § 21000 et seq.), the State Environmental Impact Report Guidelines (14 California Code of Regulations

Section § 15000 et seq.), and the National Environmental Policy Act (42 U.S.C. § 4321 et seq.) standards and procedures for all projects with federal funds.

11. **Fund Exchanges:** Federal STP and CMAQ funding may be exchanged with non-federal funds for projects that are consistent with the OBAG 3 programming policy but are ineligible or poorly suited to federal funding. Development and implementation of a funding exchange is the responsibility of the project sponsors and CTAs. Exchanges must be consistent with MTC's fund exchange policy for regional discretionary funds (MTC Resolution No. 3331), which also requires the locally-funded project to be included in the TIP for tracking purposes.

12. **Regional STP/CMAQ Exchanges:** State and federal timely use funds provisions, such as Sections 182.6 and 182.7 of the State Streets and Highways Code, require federal apportionment to be obligated within three years of federal eligibility. If a region of the state is unable to fully obligate their lapsing STP or CMAQ balances in a given year, another region in the state can enter into temporary exchange agreements to obligate the older, unused STP or CMAQ balances in exchange for an equal amount of future year STP or CMAQ funds. Such exchanges benefit both regions by avoiding the loss of funds in one region, while another region can advance projects that may be stalled due to a lack of eligible funding.

    To facilitate such exchanges, the MTC Executive Director or designee is authorized to sign letters of understanding with Caltrans and other regions for the exchange of STP or CMAQ funds with the following conditions and limitations:

    - The exchange does not negatively impact the delivery of Bay Area STP/CMAQ projects.
    - The exchange is a dollar for dollar exchange.
    - The exchange is allowed under Caltrans' obligation authority management policy.
    - Exchanges over $2 million are reported to a standing Committee of the Commission for information.
    - The Letter of Understanding can be executed in time for the MTC to secure the funds prior to any lapse or rescission.
    - If any timely use of funds deadlines or Caltrans processes are not met in time and therefore result in the loss of apportionment balance, MTC's apportionment shall not be negatively affected and the Letter of Understanding is null and void.

    Exchanges beyond these conditions and limitations may be approved by a standing Committee of the Commission.

13. **Advanced Construction:** When certain federal funds are not available for obligation due to an insufficient balance of apportionment or obligation authority project sponsors may request authorization from FHWA and Caltrans to proceed with the project under advance construction (AC) procedures. AC procedures allow FHWA to authorize work to begin on a project without obligating federal funds. Project sponsors given the federal authorization to proceed with a project under AC procedures use local funds to perform work eligible for future federal reimbursement. Once federal apportionment or obligation authority becomes available, the sponsor may then seek to covert the amount authorized through AC into a real obligation of federal funds.

AC procedures streamline the delivery of federal projects and programs by allowing projects to proceed when current year apportionments or obligation authority has run out, and enables the region and the state to better manage the use of obligation authority for large projects.

To facilitate AC procedures on regional projects, the MTC Executive Director or designee, in consultation with the Chief Financial Officer, is authorized to execute AC authorizations with Caltrans and/or FHWA for federal projects sponsored or implemented by MTC, with the following conditions and limitations:

- The agency must have sufficient local funds to pay for all project costs until the federal funds become available.
- The project must comply with all federal requirements including programming in the TIP.
- The federal authorization date establishes the start date for performance federally-reimbursable work.

14. **Regional Fund Management:** OBAG 3 funding is available in federal fiscal years (FY) 2022-23 through FY 2025-26. Funds may be programmed in any of these years, conditioned upon the availability of federal apportionment and obligation authority (OA), and subject to TIP financial constraint requirements. In addition, in order to provide uninterrupted funding to ongoing efforts and to provide more time to prepare for the effective delivery of capital projects, priority of funding for the first year of programming apportionment (FY 2022-23) will be provided to ongoing programs, such as regional and CTA planning activities, non-infrastructure projects and programs, and the preliminary engineering phase of capital projects.

    Specific programming timelines will be determined through the development of the Annual Obligation Plan, which is developed by MTC staff in collaboration with the Bay Area Partnership technical working groups and project sponsors.

    OBAG 3 projects are selected for funding based on program and fund source eligibility, project merit to achieve program objectives, and deliverability within established deadlines.

    The OBAG 3 program funding is composed of approximately 60% STP and 40% CMAQ funding MTC will select projects throughout the nine-county Bay Area based on the established project selection criteria and programming policies. STP and CMAQ funds will be assigned to specific projects as part of the project selection process. The amount of STP or CMAQ in any one program, or in the case of the County & Local Program in any one county, will be determined as part of the project selection process. Following the initial project selection and fund assignment process, MTC may re-assign fund sources to reflect available apportionment or obligation authority, or to otherwise effectively manage regional STP and CMAQ funds.

    All OBAG 3 programming amounts must be rounded to the nearest thousand.

    All project savings are returned to MTC for future programming, and are not retained by the project sponsor or county.

15. **Project Delivery Policy:** Once programmed in the TIP, the funds must be obligated by FHWA or transferred to the Federal Transit Administration (FTA) within the federal fiscal year the funds

are programmed in the TIP. Additionally, all OBAG 3 funds must be obligated no later than January 31, 2027.

Project sponsors are responsible for securing necessary matching funds and for cost increases or additional funding needed to complete the project.

Obligation deadlines, project substitutions and redirection of project savings will continue to be governed by the MTC Regional Project Funding Delivery Policy (MTC Resolution No. 3606 and any subsequent revisions). All funds are subject to obligation, award, invoicing, reimbursement and project close-out requirements. The failure to meet these deadlines may result in the de-programming and redirection of funds to other projects.

To further facilitate project delivery and ensure all federal funds in the region are meeting federal and state regulations and deadlines, every recipient of OBAG 3 funding is required to identify and maintain a staff position that serves as the single point of contact (SPOC) for the implementation of all FHWA-administered funds within that agency. The person in this position must have sufficient knowledge and expertise in the federal-aid delivery process to coordinate issues and questions that may arise from project inception to project close-out. The agency is required to identify the contact information for this position at the time of programming of funds in the TIP, and to notify MTC immediately when the position contact has changed. This person will be expected to work closely with FHWA, Caltrans, MTC, and the respective CTA on all issues related to federal funding for all FHWA-funded projects implemented by the recipient.

Project sponsors that continue to miss delivery milestones and funding deadlines for any federal funds are required to prepare and update a delivery status report on all projects with FHWA-administered funds they manage, and participate, if requested, in a consultation meeting with the CTA, MTC, and Caltrans prior to MTC approving future programming or including any funding revisions for the agency in the TIP. The purpose of the status report and consultation is to ensure the local public agency has the resources and technical capacity to deliver FHWA federal-aid projects, is fully aware of the required delivery deadlines, and has developed a delivery timeline that takes into consideration the requirements and lead-time of the federal-aid process within available resources.

COUNTY & LOCAL PROGRAM POLICIES

In addition to the general programming policies, the following policies also apply to all projects selected for funding in the County & Local Program.

1. **Minimum Grant Size:** Projects must be a minimum of $500,000 for counties with a population over 1 million (Alameda, Contra Costa, and Santa Clara counties) and $250,000 for counties with a population under one million (Marin, Napa, San Francisco, San Mateo, Solano, and Sonoma counties). The purpose of grant minimum requirements is to maximize the efficient use of federal funds and minimize the number of federal-aid projects which place administrative burdens on project sponsors, CTAs, MTC, Caltrans, and Federal Highway Administration (FHWA) staff.

   On a case by case basis, MTC may program a grant award that is below the county minimum, but no less than $150,000. These exceptions are subject to MTC staff discretion,

but may be limited to non-infrastructure projects, safety projects, or projects that are already federalized.

2. **Project Selection Process:** MTC selects project in the County & Local Program through a competitive call for projects process, administered by MTC in coordination with the CTAs. In early 2022, MTC will develop and approve the call for projects guidelines (Appendix A-1) prior to releasing a regionwide call for local and county project nominations. In coordination with MTC, CTAs will assist with local agency outreach, public engagement, and initial project screening and evaluation. Following this initial process, CTAs will submit a locally prioritized list of project nominations for MTC's regional evaluation and final project selection in early 2023.

3. **County Nomination Targets:** With the release of the regionwide call for projects, MTC will provide CTAs with their nomination targets for the OBAG 3 County & Local Program. Nomination targets are established to guide the maximum funding request from each county. Similar to prior cycles, these targets will be based on population, recent housing production and planned growth, and housing affordability. However, these investment targets do not commit or imply a guaranteed share of funding to any individual county or jurisdiction. Each county's nomination target will also be adjusted to ensure that it is greater than the amount of base planning funding for that county (affects Napa County).

   In order to ensure a sufficient pool of projects for MTC's final project selection, the nomination targets will be 120% of the total amount available for the County & Local Program minus the amounts for CTA Base Planning. Nomination targets will be detailed in Appendix A-1.

4. **Project Selection Criteria & Outreach:** MTC will develop detailed project selection criteria and outreach requirements prior to the release of the call for projects, and provided in Appendix A-1. The project selection guidelines will include, but may not be limited to, the following criteria:
   - Screening of all projects for consistency with *Plan Bay Area 2050*, federal fund eligibility, and OBAG 3 programming policy requirements.
   - Alignment with *Plan Bay Area 2050* strategies and federal performance management targets.
   - Consistency with adopted regional plans and policies, such as Regional Safety/Vision Zero policy, Equity Platform, Regional Active Transportation Plan (AT Plan), Complete Streets Policy (update pending), Transit Oriented Communities (TOC) Policy (update pending), and priority actions from the Blue Ribbon Transit Transformation Action Plan.
   - Projects located within PDAs, or select new growth geographies, and EPCs
   - Projects identified in completed CBTPs or PBs
   - Project deliverability within program deadlines.
   - Emissions reductions benefit and cost effectiveness calculation (for projects eligible for CMAQ).

   In addition to these criteria, final project selection will also reflect the relative PDA investment targets per county and the regionwide investment target of $200 million in

active transportation (as described in Program Categories section, above). Consideration will also be given to overall project mix, equity, geographic spread, and to available fund sources and amounts.

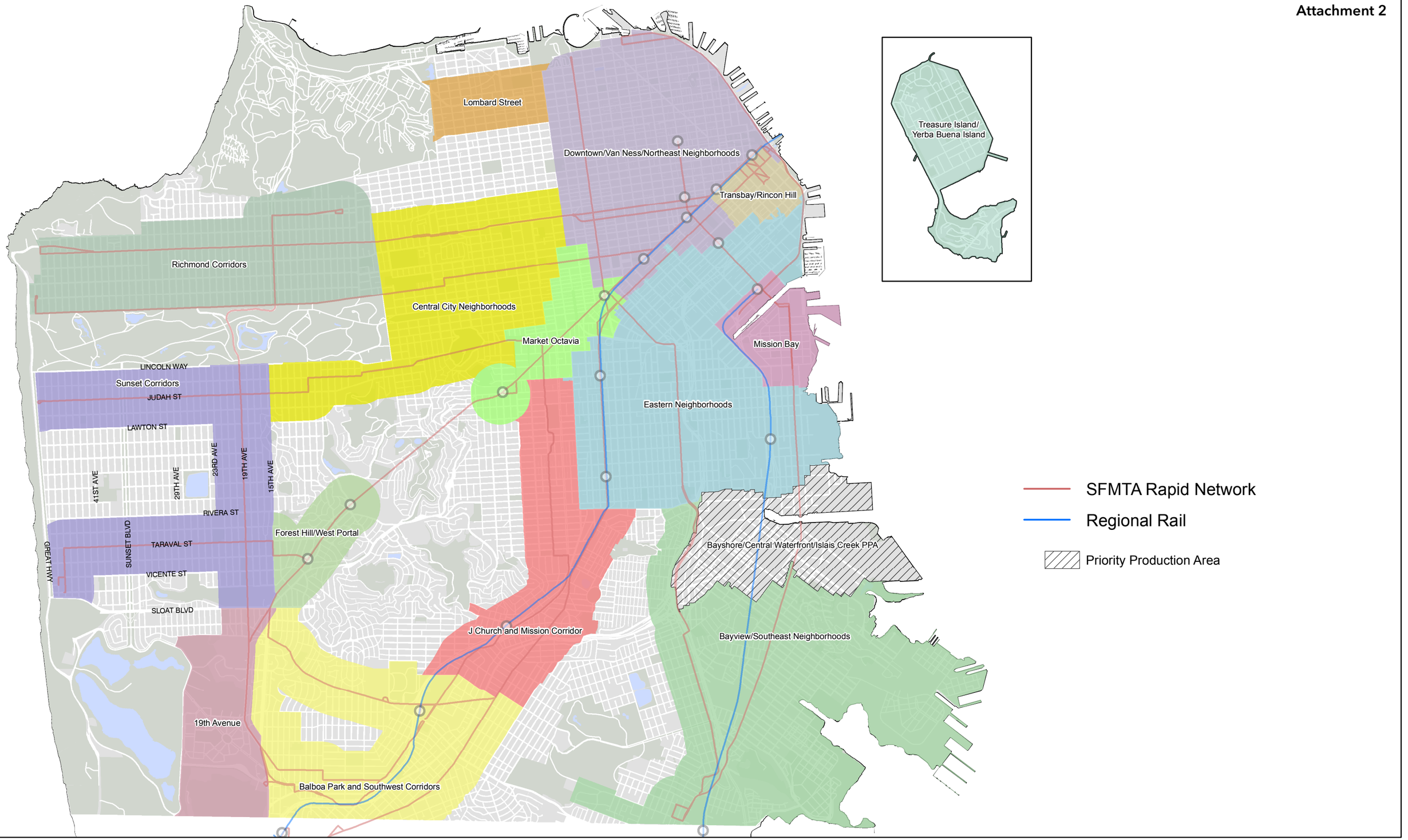
POLICY CONSISTENCY

OBAG 3 Program Categories are designed to support and advance regional and federal priorities, including *Plan Bay Area 2050* strategies and FHWA Federal Performance Goal Areas, as illustrated in the matrix below.

OBAG 3 Program Category	PBA 2050 Strategies	Federal Performance Goal Areas
Planning & Program Implementation	H3, H4, H5, H6, H8 T1, T2, T3, T6, T7, T8, T9, T10, T11, T12 EC4, EC5, EC6 EN1, EN2, EN3, EN4, EN5, EN6, EN7, EN8, EN9	Safety Infrastructure Condition System Reliability Freight Movement and Economic Vitality Congestion Reduction Environmental Sustainability
Growth Framework Implementation	H3, H4, H5, H6, H8 T1, T2, T3, T11 EC4, EC5, EC6 EN4	Congestion Reduction Environmental Sustainability
Climate, Conservation and Resilience	T2, T7, T8 EN1, EN4, EN5, EN6, EN7, EN8, EN9	System Reliability Congestion Reduction Environmental Sustainability
Complete Streets and Community Choice	T1, T2, T3, T6, T7, T10	System Reliability Freight Movement and Economic Vitality Congestion Reduction Environmental Sustainability
Multimodal Systems Operations and Performance	T1, T2, T3, T8, T9, T10	Safety Infrastructure Condition Congestion Reduction Environmental Sustainability

For a complete list of Plan Bay Area 2050 *strategies, see pages vii-x of the adopted plan, available at https://www.planbayarea.org/.*

Attachment 2

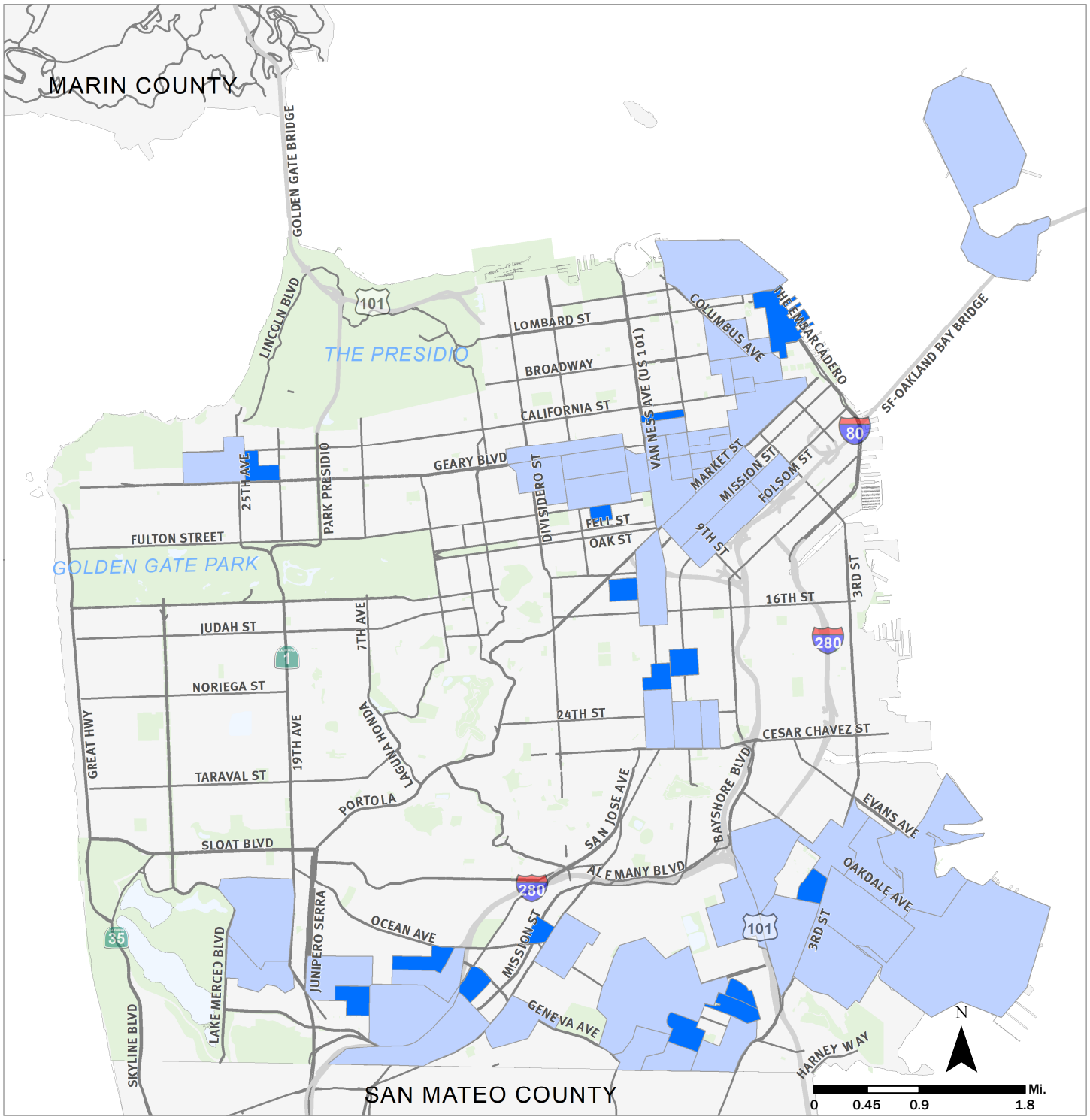


Priority Development Areas (PDAs)

December 2019

SAN FRANCISCO

Attachment 2



San Francisco Equity Priority Communities 2021

MTC 2021 Equity Priority Communities^

SFCTA 2021 supplemental Equity Priority Communities boundaries*

Parks and Open Space

San Francisco County Transportation Authority

*Supplemental boundaries based on analysis conducted at block group-level, any block group meeting MTC's Equity Priority Communities definition and contiguous with MTC identified census tracts are included.
^Equity Priority Communities were formerly called Communities of Concern

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San Francisco One Bay Area Grant (OBAG 3) – County Program

San Francisco County Transportation Authority

Project Information	
For sponsors submitting more than one application, please rank the application: Application ___ of ___ total applications submitted	
Project Name	*Project name*
Project Sponsor	*Project sponsor*
Sponsor Single Point of Contact	*Contact name*
	Contact phone
	Contact email
Project Location	*Project location*
Supervisorial District(s)	
Brief Project Description *for MyStreetSF (50 words max):*	*Project description*
Detailed Scope (may attach Word document): *Describe the project scope and benefits and how the project was prioritized. Attach maps, photos, drawings; and other materials to support understanding of the project.*	
Letters of support *List the entities providing letters of support and attach the letters.*	
Partner Agencies: *List partner agencies and staff contact names and email addresses.*	
Program Eligibility	
Federal Fund Eligibility *Is the project eligible for federal transportation funds?*	Select the OBAG 3 federal fund source(s) for which the project is eligible: ☐ Surface Transportation Block Grant (STP) Program (See FHWA fact sheet) ☐ Congestion Mitigation & Air Quality Improvement (CMAQ) Program (See FHWA fact sheet) *Note: projects eligible for CMAQ funding must provide inputs for air quality improvement calculations, using templates provided on the OBAG 3 webpage.*
Eligible Project Type	Select the eligible project type(s) (refer to MTC Resolution No. 4505 for detailed eligibility guidelines):

Is the project an eligible project type?	***Growth Framework Implementation*** ☐ PDA Planning Grant ☐ Local Planning Grant (for other *Plan Bay Area 2050* Growth Geographies) ***Complete Streets & Community Choice*** ☐ Bicycle/Pedestrian Infrastructure ☐ Bicycle/Pedestrian Program ☐ Safe Routes to School (SRTS) Non-Infrastructure program ☐ SRTS Infrastructure ☐ Safety project ☐ Safety Planning efforts ☐ Complete Streets improvements ☐ Streetscape improvements ☐ Local Streets and Roads Preservation ☐ Rural Roadway Improvement ☐ Community-Based Transportation Plan (CBTP) or Participatory Budgeting (PB) Process in an Equity Priority Community (EPC) ☐ CBTP/PB Project Implementation ***Climate, Conservation, & Resilience*** ☐ Transportation Demand Management (TDM) Program ☐ Mobility Hub ☐ Parking/Curb Management ☐ Car/Bike Share Capital ☐ Open Space Preservation and Enhancement ☐ Bicycle/Pedestrian Access to Open Space/Parkland ☐ Regional Advance Mitigation Planning (RAMP) ***Multimodal Systems Operations & Performance*** ☐ Transit Capital Improvement ☐ Transit Station Improvement ☐ Transit Transformation Action Plan Project Implementation ☐ Active Operational Management ☐ Mobility Management and coordination
Complete Streets Checklist:	☐ Sponsor has submitted MTC's Complete Streets Checklist

Policy Alignment	
Federal Performance Goals *How does the project support federal performance measures?*	Select the federal performance measures that are supported by the project: ☐ Safety: Significantly reduce traffic fatalities and serious injuries for all users on all public roads and improve the safety of all public transportation systems. ☐ Infrastructure Condition: Improve the pavement condition on the Interstate and National Highway System (NHS) and NHS bridges and maintain the condition of public transit assets in a state of good repair. ☐ Congestion Reduction: Significantly reduce congestion on the NHS in urbanized areas. ☐ System Reliability: Improve the reliability of the Interstate system and NHS. ☐ Freight Movement and Economic Vitality: Improve the reliability of the Interstate system for truck travel. ☐ Environmental Sustainability: Maximize emission reductions from CMAQ-funded projects. Describe how the project supports the selected federal performance measure(s): *Please describe*
Plan Bay Area 2050 Strategies *How does the project align with* Plan Bay Area 2050*?*	Describe how the project supports *Plan Bay Area 2050* Strategies and/or Implementation Plan: *Please describe*
Regional Policy Alignment *How does the project align with other regional policies and plans?*	Select the regional *and countywide* plans and policies with which the project is aligned: ☐ Regional Safety/Vision Zero Policy ☐ MTC's Equity Platform ☐ Regional Active Transportation Plan ☐ Transit Oriented Communities Policy ☐ Blue Ribbon Transit Transformation Action Plan ☐ *San Francisco Transportation Plan* Describe how the project aligns with the selected regional plans and/or policies: *Please describe*
Regional Growth Geographies *Does the project support PBA 2050 Growth Geographies?*	Indicate the project's relationship to *Plan Bay Area 2050* Growth Geographies: ***Priority Development Area (PDA)*** ☐ Meets the uniform definition of a PDA-supportive project (within one mile or less of a PDA boundary) ☐ Does not meet the uniform definition of a PDA-supportive project, but otherwise has a clear and direct connection to PDA implementation *Please describe* ☐ Included in a locally-adopted PDA plan (e.g. Specific Plan, PDA Investment and Growth Strategy) *Locally-adopted PDA plan reference* ***Transit Rich Area (TRA)*** ☐ Within a TRA or otherwise supportive of a TRA (see Growth Geographies map) *Please describe*

	Priority Production Area (PPA) ☐ Supports the preservation of a PPA (see Growth Geographies map) *Please describe*
Equity Priority Communities *Does the project invest in historically underserved communities?*	Indicate how the project invests in historically underserved communities, including *Plan Bay Area 2050* Equity Priority Communities (EPCs) *and the San Francisco supplemental EPC boundaries attached*: ☐ Located within and supportive of an EPC (see Equity Priority Communities map) ☐ *Located within and supportive of a San Francisco supplemental EPC (see San Francisco Equity Priority Communities 2021 map attached)* ☐ Not located within an EPC, but is otherwise supportive of an EPC or other historically underserved community *Describe how the project supports and the specific benefits to EPCs and Disadvantaged Populations/historically underserved communities*
Local Housing Policies *Is the project located in a jurisdiction with policies that support affordable housing?*	Indicate if the project is located in a jurisdiction that has adopted policies which support the "3Ps" approach to affordable housing by listing the relevant adopted policies for each element of the 3Ps. Additional guidance and resources on affordable housing policies are provided on the OBAG 3 webpage. ☒ Protect current residents from displacement (with emphasis on policies that have demonstrated effectiveness in community stabilization and anti-displacement). -Condominium Conversion Ordinance -Homeowner Repair or Rehabilitation -Home Sharing Programs -Just Cause Eviction -Locally-Funded Homebuyer Assistance -Rent Stabilization -SRO Preservation Ordinance -Tenant-Based Assistance ☒ Preserve existing affordable housing (with emphasis on policies that have demonstrated effectiveness in community stabilization and anti-displacement). -Acquisition/Rehabiliation/Conversion -Commercial Development Impact Fee -General Fund Allocation -One-to-One Replacement ☒ Produce new housing at all income levels. -By-Right Strategies -Commercial Development Impact Fee -Flexible Parking Requirements -Form-Based Codes -General Fund Allocation -Graduated Density Bonus -Housing Development Impact Fee -Implementation of SB743

	-Inclusionary Housing Ordinance -In-Lieu Fees (Inclusionary Zoning) -Reduced Fees or Permit Waivers -Streamlined Permitting Process -Surplus Public Lands Act
Community Support	
Community Support *Does the project have community support, particularly if it is located in a historically underserved community?*	Indicate if the project has demonstrated community support through one or more of the following: ☐ Public outreach responses specific to this project, including comments received at public meetings or hearings, feedback from community workshops, or survey responses. *Summary of public outreach responses* ☐ Project is consistent with an adopted local transportation plan. Description of project consistency with local plan. *Reference any neighborhood transportation plan, corridor improvement study, station area plans, etc.*
	Indicate if the project has demonstrated support from communities disproportionately impacted by past discriminatory practices, including redlining, racial covenants, urban renewal, and highway construction that divided low income and communities of color. Resources for identifying impacted communities are available on the OBAG 3 webpage. Community support may be demonstrated through one or more of the following: ☐ Prioritization of the project in a Community Based Transportation Plan (CBTP) or Participatory Budgeting (PB) process. *CBTP or PB reference* ☐ Endorsements from Community-Based Organizations representing historically underserved and potentially impacted communities. *Describe endorsement(s) by CBOs, neighborhood groups, and/or disadvantaged populations*

Deliverability & Readiness	
Project Readiness *Is the project ready to be delivered?*	Describe the readiness of the project, including right-of-way impacts and the type of environmental document/clearance required, *the status of the environmental phase, the current phase of the project, and outreach completed or underway.* *Project readiness, right-of-way, environment, current status* If the project touches Caltrans right-of-way, include the status and timeline of the necessary Caltrans approvals and documents, the status and timeline of Caltrans requirements, and approvals such as planning documents (PSR or equivalent) environmental approval, encroachment permit. *Caltrans approvals status and timeline* *Confirm that the sponsor is eligible to receive federal transportation funds and has a Master Agreement with Caltrans. Include the Master Agreement expiration date.* *Confirm eligibility and Master Agreement*
Deliverability *Are there any barriers to on-time delivery?*	Describe the project's timeline and status, as well as the sponsor's ability to meet the January 31, 2027 obligation deadline *and the ability to complete the project in accordance with MTC's Regional Project Delivery Policy (MTC Resolution No. 3606, Revised) and can meet all OBAG 3 deadlines, and federal and state delivery requirements:* *Project timeline, status, and obligation deadline* Identify any known risks to the project schedule, and how the CTA and project sponsor will mitigate and respond to those risks: *Project risks and mitigation strategies*
Project Cost & Funding	
Grant Minimum *Does the project meet the minimum grant size requirements?*	☐ Project meets the minimum grant size requirements. Projects must be a minimum of $500,000.
Local Match *Does the project meet local match requirements?*	☐ Project sponsor will provide a local match of at least 11.47% of the total project cost *and is committed or programmed for the requested phase or phases.* *Notes on local match, optional* ☐ *(For capital projects) Sponsor has secured local funds to fully fund the pre-construction phases (e.g. project development, environmental or design) and would like to claim toll credits in lieu of a match for the construction phase. Sponsor will still meet all federal requirements for the pre-construction phases.*
San Francisco Criteria	
Safety	☐ *Project is located on the Vision Zero High Injury Network.* *Define and provide data to support the safety issue that is being addressed on the Vision Zero High Injury Network, or other locations with a known safety issue, and how*

	the project will improve or alleviate the issue.
Construction Coordination	*Identify if the project is or will be coordinated with other construction projects. Briefly describe the scope(s) of the other projects, and provide a timeline for major milestones for coordination (e.g. start and end of design and construction phases).*
Improve Transit Reliability and Accessibility	*Describe how the project increases transit accessibility, reliability, and connectivity (e.g. stop improvements, transit stop consolidation and/or relocation, transit signal priority, traffic signal upgrades, travel information improvements, wayfinding signs, bicycle parking, and improved connections to regional transit). Include whether the project supports the existing or proposed rapid network or rail, including projects identified in transit performance plans or programs such as the San Francisco Municipal Transportation Agency's Muni Forward program.*
Improve Access to schools, senior centers, and other community sites	*Describe how the project improves access to schools, senior centers, and/or other community sites.*
Limited Funding Options	*Project has limited other funding options due to:* ☐ *Ineligible for other fund sources or eligible for very few sources* ☐ *Competes poorly for other discretionary fund sources____ (explain)* ☐ *Other____ (explain)*
Screening Criteria for Street Resurfacing Projects	☐ *Project selected based on the analysis results from San Francisco's certified Pavement Management System.* ☐*The project location's PCI is: _____.* ☐ *For preventive maintenance: Project is cost-effective and will extend the useful life of the facility by the following number of years: _____*

San Francisco One Bay Area Grant (OBAG 3) – County Program

San Francisco County Transportation Authority

High-level MTC Project Cost & Funding Summary

OBAG 3 Grant Request:

(Rounded to the nearest $1,000)

Total Grant Request	$

Project Cost & Schedule:

(Rounded to the nearest $1,000)

Project Phases	**Total Cost**	**Secured Funds** (Programmed or allocated)		**Unsecured Funds** (Planned)		**Schedule** (Start dates: Planned, Actual)
		Amount	**Fund Sources**	**OBAG 3 Grant Request**	**Remaining Funding Needed**	
Planning/ Conceptual	$	$	*Secured fund sources, notes*	$	$	Month/Year
Environmental Studies (PA&ED)	$	$	*Secured fund sources, notes*	$	$	Month/Year
Design Engineering (PS&E)	$	$	*Secured fund sources, notes*	$	$	Month/Year
Right-of-way	$	$	*Secured fund sources, notes*	$	$	Month/Year
Construction	$	$	*Secured fund sources, notes*	$	$	Month/Year
Total	**$**	**$**		**$**	**$**	

Project Investment by Mode:

Mode	**Share of project investment**
Auto	%
Transit	%
Bicycle/Pedestrian	%
Other	%
Total	**100%**

Please also complete San Francisco's Supplemental schedule, cost, and funding tables.

San Francisco County Transportation Authority

San Francisco One Bay Area Grant Cycle 3 County Program Application

Project Name:	

Project Delivery Milestones	Status	Work	Start Date		End Date	
Phase	% Complete	In-house, Contracted, or Both	Month	Calendar Year	Month	Calendar Year
Planning/Conceptual Engineering						
Environmental Studies (PA&ED)						
Design Engineering (PS&E)						
Right-of-way						
Advertise Construction		N/A			N/A	N/A
Start Construction (e.g. Award Contract)					N/A	N/A
Open for Use	N/A	N/A	N/A	N/A		

San Francisco County Transportation Authority

San Francisco One Bay Area Grant Cycle 3 County Program Application

Project Name:	0

PROJECT COST ESTIMATE

		Funding Source by Phase				
Phase	**Cost**	**OBAG 3**	**Prop K**	**Other**	**Source of Cost Estimate**	**Desired OBAG Programming FFY** (Oct 1 - Sept 30)*
Planning/Conceptual Engineering	$0					
Environmental Studies (PA&ED)	$0					
Design Engineering (PS&E)	$0					
Right-of-Way	$0					
Construction	$0					
TOTAL PROJECT COST	$0	$0	$0	$0		*Call for projects will program funds in FFYs 2022/23 - 2025/26.
Percent of Total		#DIV/0!	#DIV/0!	#DIV/0!		

FUNDING PLAN FOR ALL PHASES - ALL SOURCES

Funding Source	**Planned**	**Programmed**	**Allocated**	**TOTAL**
OBAG 3		N/A	N/A	$0
Source 1				$0
Source 2				$0
TOTAL	**$0**	**$0**	**$0**	**$0**

Comments/Concerns

San Francisco County Transportation Authority

San Francisco One Bay Area Grant Cycle 3 County Program Application

General Instructions

Please provide budget detail for all phases through construction. Sponsor may use sample budget templates below or may attach budget details in another format that includes all required information.

Project Name: 0

SAMPLE PROJECT BUDGET - ENVIRONMENTAL STUDIES, RIGHT-OF-WAY, DESIGN

SUMMARY BY MAJOR LINE ITEM - DESIGN		
Budget Line Item	**Totals**	**% of phase**
1. Total Labor	$ -	#DIV/0!
2. Consultant	$ -	#DIV/0!
3. Other Direct Costs *	$ -	#DIV/0!
4. Contingency	$ -	#DIV/0!
TOTAL PHASE	**$ -**	

* e.g. PUC costs

TOTAL LABOR COST BY AGENCY	
Agency 1	
Agency 2	
Agency 3	
Agency 4	
Agency 5	$ -
TOTAL	

SAMPLE PROJECT BUDGET - CONSTRUCTION

SUMMARY BY MAJOR LINE ITEM (BY AGENCY LABOR BY TASK)					
Budget Line Item	**Totals**	**% of contract**	**Agency 1**	**Agency 2**	**Contractor**
1. Contract					
Budget Line Item/Task 1	$ -				$ -
Budget Line Item/Task 2	$ -				$ -
Subtotal	*$ -*				*$ -*
2. Non-Contract Work	$ -		$ -	$ -	
3. Construction Management/Support	$ -	#DIV/0!	$ -	$ -	
4. Other Direct Costs *	$ -		$ -	$ -	
5. Contingency	$ -	#DIV/0!	$ -	$ -	
TOTAL CONSTRUCTION PHASE	**$ -**		**$ -**	**$ -**	**$ -**

* e.g. PUC sewer inspection

SAMPLE PROJECT BUDGET - NON-INFRASTRUCTURE

BUDGET SUMMARY

Agency	Task 1 - Project Initiation	Task 2 - Needs and Opportunity Assessment	Task 3 - Public Participation	Task 4 - Develop Recommendations	Task 5 - Project Management	Total
Agency 1	$ -	$ -	$ -	$ -	$ -	$ -
Agency 2	$ -	$ -	$ -	$ -	$ -	$ -
Consultant[1]	$ -	$ -	$ -	$ -	$ -	$ -
Other Direct Costs *	$ -	$ -	$ -	$ -	$ -	$ -
Total	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**	**$ -**

[1] Consultant will provide: List out the Consultant tasks here

* Direct Costs include mailing, reproduction costs room rental fees.

DETAILED LABOR COST ESTIMATE - BY AGENCY

Agency 1	Hours	Base Hourly Rate	Overhead Multiplier	Fully Burdened Hourly Cost	FTE	Total
Assistant Engineer	0	$ -	$ -	$ -	0	$ -
Transportation Planner III	0	$ -	$ -	$ -	0	$ -
Associate Engineer	0	$ -	$ -	$ -	0	$ -
Contingency	0	$ -	$ -	$ -	0	$ -
Total	**0.00**				**0.00**	**$ -**

Agency 2	Hours	Base Hourly Rate	Overhead Multiplier	Fully Burdened Hourly Cost	FTE	Total
Deputy Director	0	$ -	$ -	$ -	0	$ -
Senior Planner	0	$ -	$ -	$ -	0	$ -
Contingency	0	$ -	$ -	$ -	0	$ -
Total	**0.00**				**0.00**	**$ -**

Complete Streets Checklist
Implementation of MTC's Complete Streets Policy, Resolution 4493, Adopted 3/25/22

Background

Since 2006, MTC's Complete Streets (CS) Policy has promoted the development of transportation facilities that can be used by all modes. In March 2022, MTC updated its CS policy (Resolution 4493) with the goal of ensuring that people biking, walking, rolling, and taking transit are safely accommodated within the transportation network. This policy works to advance Plan Bay Area 2050 objectives of achieving mode shift, safety, equity, and vehicle miles traveled and greenhouse gas emission reductions, as well as state & local compliance with applicable CS-related laws, policies, and practices, specifically the California Complete Street Act of 2008 (Gov. Code Sections 65040.2 and 65302) and applicable local policies such as the CS resolutions adopted before January 16, 2016 (as part of MTC's OBAG 2 requirements.)

Requirements

MTC's CS Policy requires that all projects (with a total project cost of $250,000 or more) applying for regional discretionary transportation funding – or requesting regional endorsement or approval through MTC - must submit a Complete Streets Checklist (Checklist) to MTC.

Please note that Projects claiming exceptions to CS Policy must complete the Exceptions section on the Checklist and provide a Department Director-level signature.

Additional information and guidance for completing this Checklist can be found at the **MTC Administrative Guidance: Complete Streets Policy Guidance for public agency staff implementing MTC Resolution 4493 at mtc.ca.gov/planning/transportation/complete-streets.**

This form may be downloaded at **mtc.ca.gov/planning/transportation/complete-streets.**

Submittal

Completed Checklists must be emailed to completestreets@bayareametro.gov.

PROJECT INFORMATION
Project Name/Title:
Project Area/Location(s): Attach map if available.

PROJECT DESCRIPTION: (300-word limit) **Please indicate project phase (**Planning, PE, ENV, ROW, CON, O&M) May attach additional project documents, cross sections, plan view, or other supporting materials.		
CONTACT INFORMATION		
Contact Name & Title:	**Contact Email:**	**Contact Phone:**
Agency:		

Topic	CS Policy Consideration	YES	NO	Required Description	Description
1. Bicycle, Pedestrian and Transit Planning	Does Project implement relevant Plans, or other locally adopted recommendations? Plan examples include: • City/County General + Area Plans • Bicycle, Pedestrian & Transit Plan • Community-Based Transportation Plan • ADA Transition Plan • Station Access Plan • Short-Range Transit Plan • Vision Zero/Systematic Safety Plan	☐	☐	Please provide detail on Plan recommendations affecting Project area, if any, with Plan adoption date. If Project is inconsistent with adopted Plans, please provide explanation.	
2. Active Transportation Network	Does the project area contain segments of the regional Active Transportation (AT) Network? See AT Network map on the MTC Complete Streets webpage.	☐	☐	If yes, describe how project adheres to the NACTO All Ages and Abilities design principles. See *All Ages and Abilities and Design Guidelines* below.	

Topic	CS Policy Consideration	YES	NO	Required Description	Description
2. Active Transportation Network (Cont.)					
3. Safety and Comfort	A. Is the Project on a known High Injury Network (HIN) or has a local traffic safety analysis found a high incidence of bicyclist/pedestrian-involved crashes within the project area?	☐	☐	Please summarize the traffic safety conditions and describe Project's traffic safety measures. The Bay Area Vision Zero System may be a resource.	
	B. Does the project seek to improve bicyclist and/or pedestrian conditions? If the project includes a bikeway, was a Level of Traffic Stress (LTS), or similar user experience analyses conducted?	☐	☐	Describe how project seeks to provide low-stress transportation facilities or reduce a facility's LTS.	
4. **Transit Coordination**	A. Are there existing public transit facilities (stop or station) in the project area?	☐	☐	List transit facilities (stop, station, or route) and all affected agencies.	
	B. Have all potentially affected transit agencies had the opportunity to review this project?	☐	☐	Please attach confirmation email from transit operator(s) to email.	

Topic	CS Policy Consideration	YES	NO	Required Description	Description
	C. Is there a MTC Mobility Hub within the project area?	☐	☐	If yes, please describe outreach to mobility providers, and Project's Hub-supportive elements.	
5. Design	Does the project meet professional design standards or guidelines appropriate for bicycle and/or pedestrian facilities?	☐	☐	Please provide Class designation for bikeways. Cite design standards used.	
6. Equity	Will Project improve active transportation in an Equity Priority Community?	☐	☐	Please list EPC(s) affected.	
7. BPAC Review	Has a local (city or county) Bicycle and Pedestrian Advisory Commission (BPAC) reviewed this checklist (or for OBAG 3, this project)?	☐	☐	Please provide meeting date(s) and a summary of comments, if any.	

Statement of Compliance	YES
The proposed Project complies with California Complete Street Act of 2008 (Gov. Code Sections 65040.2 and 65302, MTC Complete Streets Policy (Reso. 4493), and locally adopted Complete Streets resolutions (adopted as OBAG 2 (Reso. 4202) requirement, Resolution 4202.)	☐

If no, complete Statement of Exception and obtain necessary signature.

Statement of Exception	YES	Provide Documentation or Explanation	Documentation Explanation
1. The affected roadway is legally prohibited for use by bicyclists and/or pedestrians.	☐	If yes, please cite language and agency citing prohibited use.	
2. The costs of providing Complete Streets improvements are excessively disproportionate to the need or probable use (defined as more than 20 percent for Complete Streets elements of the total project cost).	☐	If claimed, the agency must include proportionate alternatives and still provide safe accommodation of people biking, walking and rolling.	
3. There is a documented Alternative Plan to implement Complete Streets and/or on a nearby parallel route.	☐	Describe Alternative Plan/Project	
4. Conditions exist in which policy requirements may not be able to be met, such as fire and safety specifications, spatial conflicts on the roadway with transit or environmental concerns, defined as abutting conservation land or severe topological constraints.	☐	Describe condition(s) that prohibit implementation of CS policy requirements	

SIGNATURES / NOTIFICATIONS

TRANSIT
The project sponsor shall communicate and coordinate with all transit agencies with operations affected by the proposed project. If a project includes a transit stop/station, or is located along a transit route, the Checklist must include written documentation (e.g. email) with the affected transit agency(ies) to confirm transit agency coordination and acknowledgement of the project. A CS Checklist Transit Agency Contact List is available for reference.

DEPARTMENT DIRECTOR-LEVEL SIGNATURE FOR EXCEPTIONS
Exceptions must be signed by a Department Director-level agency representative, or their designee, and not the Project Manager. Insert electronic signature or sign below :

Full Name:
Title:
Date:
Signature:

All Ages and Abilities and Design Guidelines

All Ages and Abilities

Designing for All Ages & Abilities, Contextual Guidance for High-Comfort Bicycle Facilities, National Association of Transportation Officials, December 2017

Projects on the AT Network shall incorporate design principles based on designing for "All Ages and Abilities," contextual guidance provided by the National Association of City Transportation Officials (NACTO), and consistent with state and national best practices. A facility that serves "all ages and abilities" is one that effectively serves the mobility needs of children, older adults, and people with disabilities and in doing so, works for everyone else. The all ages and abilities approach also strives to serve all users, regardless of age, ability, ethnicity, race, sex, income, or disability, by embodying national and international best practices related to traffic calming, speed reduction, and roadway design to increase user safety and comfort. This approach also includes the use of traffic calming elements or facilities separated from motor vehicle traffic, both of which can offer a greater feeling of safety and appeal to a wider spectrum of the public.

Design best practices for safe street crossings, pedestrian facilities, and Americans with Disabilities Act (ADA) accessibility at transit stops, and bicycle/micromobility facilities on the AT Network should be incorporated throughout the entirety of the project. The Proposed Public Rights-of-Way Accessibility Guidelines (PROWAG) by the U.S. Access Board should also be referenced during design.

Contextual Guidance for Selecting All Ages & Abilities Bikeways				
Roadway Context				All Ages & Abilities Bicycle Facility
Target Motor Vehicle Speed*	Target Max. Motor Vehicle Volume (ADT)	Motor Vehicle Lanes	Key Operational Considerations	
Any		*Any*	*Any of the following:* high curbside activity, frequent buses, motor vehicle congestion, or turning conflicts‡	**Protected Bicycle Lane**
< 10 mph	Less relevant	No centerline, or single lane one-way	Pedestrians share the roadway	**Shared Street**
≤ 20 mph	≤ 1,000–2,000		< 50 motor vehicles per hour in the peak direction at peak hour	**Bicycle Boulevard**
≤ 25 mph	≤ 500–1,500			
	≤ 1,500 – 3,000	Single lane each direction, or single lane one-way	Low curbside activity, or low congestion pressure	**Conventional or Buffered Bicycle Lane, or Protected Bicycle Lane**
	≤ 3,000 – 6,000			**Buffered or Protected Bicycle Lane**
	Greater than 6,000			**Protected Bicycle Lane**
	Any	Multiple lanes per direction		
Greater than 26 mph†	≤ 6,000	Single lane each direction	Low curbside activity, or low congestion pressure	**Protected Bicycle Lane, or Reduce Speed**
		Multiple lanes per direction		**Protected Bicycle Lane, or Reduce to Single Lane & Reduce Speed**
	Greater than 6,000	*Any*	*Any*	**Protected Bicycle Lane, or Bicycle Path**
High-speed limited access roadways, natural corridors, or geographic edge conditions with limited conflicts		*Any*	High pedestrian volume	**Bike Path with Separate Walkway or Protected Bicycle Lane**
			Low pedestrian volume	**Shared-Use Path or Protected Bicycle Lane**

Design Guidance

Examples of applicable design guidance documents include (but are not limited to): American Association of State Highway and Transportation Officials (AASHTO) - *A Policy on Geometric Design of Highway and Streets, Guide for the Development of Bicycle Facilities, Guide for the Planning, Design, and Operation of Pedestrian Facilities; Public Right-of-Way Accessibility Guide* (PROWAG); *Manual on Uniform Traffic Control Devices* (MUTCD); *Americans with Disabilities Act Accessibility Guidelines* (ADAAG); National Association of City Transportation Officials (NACTO) - *Urban Bikeway Design Guide.*

MTC Administrative Guidance:

Complete Streets Policy

Guidance for public agency staff implementing MTC Resolution 4493

May 2022

Background

In March 2022, MTC adopted Resolution 4493 updating the Bay Area's regional Complete Streets (CS) Policy, first adopted in 2006. The goal of MTC's Complete Streets (CS) Policy is to ensure people biking, walking, rolling, and taking transit are safely accommodated within the transportation network. This policy works to advance Plan Bay Area 2050 objectives of achieving mode shift, safety, equity, and vehicle miles traveled and greenhouse gas emission reductions, as well as state & local compliance with applicable CS-related laws, policies, and standards, specifically the California Complete Street Act of 2008 (Gov. Code Sections 65040.2 and 65302) and locally adopted Complete Streets resolutions.

Definition

Complete Streets are planned, designed, constructed, reconstructed, operated, and maintained to be safe and comfortable for everyone, regardless of age, ability, ethnicity, race, sex, income, disability or chosen transportation mode. Complete Streets provide safe mobility and improved connectivity to community destinations for all users, and especially for people walking, rolling, biking, and riding transit, while maximizing the use of the existing public right-of-way by prioritizing space-efficient forms of mobility (walking, cycling, shared mobility, and public transit) over space-intensive modes (single occupancy auto travel).

Plan Bay Area

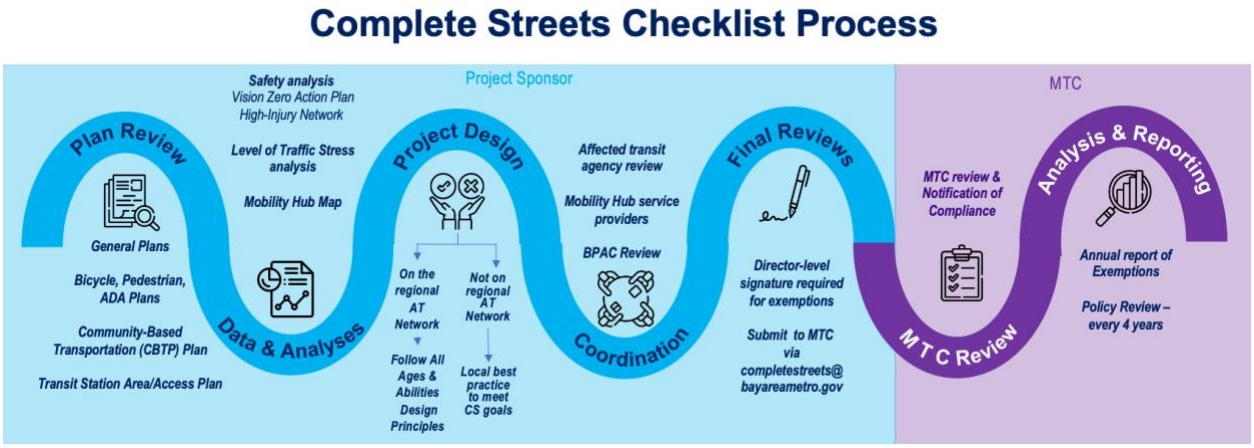
Plan Bay Area 2050 Strategy *T8* calls for development of a Complete Streets Network, enhancing streets to promote walking, biking and other micromobility[1] options through sidewalk improvements, car-free slow streets, and up to 10,000 miles of bike lanes or multi-use paths. MTC's Active Transportation Plan (AT Plan) defines an Active Transportation Network (AT Network), made up of regionally significant segments of local active transportation networks and regional trails, based on traffic safety, user comfort, equity, and connectivity to transit. The planned geographies of Priority Development Areas, Equity Priority Communities, and Mobility Hubs were used to focus on these principles.

Policy

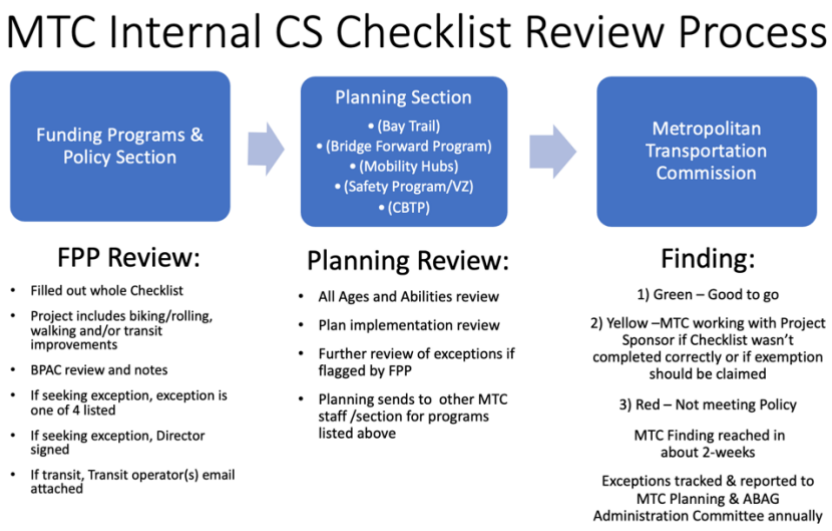
MTC's CS Policy is made up of two main components. Projects funded all or in part with regional discretionary funding or receiving MTC endorsements shall adhere to the policy.

1. All projects must implement CS as recommended in adopted local and countywide plans, such as bicycle, pedestrian, active transportation, Vision Zero or other systemic safety plan, transit plans, and MTC-funded Community-Based Transportation Plans.
2. Projects on the AT Network shall incorporate design principles based on designing for "All Ages and Abilities," contextual guidance provided by the National Association of City Transportation Officials (NACTO), and consistent with state and national best practices. A facility that serves "all ages and abilities" is one that effectively serves the mobility needs of children, older adults, and people with disabilities and in doing so, works well for everyone else. Design best practices for safe street crossings, pedestrian, and Americans with Disabilities (ADA) accessibility at transit tops, and bicycle/micromobility facilities on the AT Network should be incorporated throughout the entire project. The Proposed Public Rights-of-Way Accessibility Guidelines (PROWAG) by the U.S. Access Board should also be referenced during design.

Complete Streets Policy and Checklist Process



MTC Internal CS Checklist Review Process



Complete Streets Checklist Overview

CS Policy requires that all projects with a total project cost of $250,000 or more applying for regional discretionary transportation funding or endorsement from MTC (such as, but not limited to, the One Bay Area Grant program (OBAG) or the Active Transportation Program (ATP)) submit a Complete Streets Checklist.

The Complete Streets Checklist (Checklist) is a form to help ensure local compliance with CS Policy and applicable laws. It is submitted to MTC online as part of a grant application process.

The Complete Streets Checklist consists of the following fields for project sponsors to complete:

- Project Name
- Project Location
- Project Description – 300-word limit, document upload allowed
- Contact Info - Name/Email/Phone/Agency
- Y/N choices related to project characteristics with a "Required Description" text field and ability to upload supporting documents.
- Statement of Compliance
- Claim of Exception statements (if applicable)
- Signature - Exceptions must have signatory approval from a Dept. Director-level (or above)

Note that project materials attached to the Checklist are not considered part of the formal Project Submittal or other grant application. If a grant application asks for the same materials, it is the responsibility of the applicant to provide them to the grant manager, as instructed in the Call for Projects, or equivalent.

<u>Who Should Complete the CS Checklist?</u>

- It is preferable for the sponsoring agency's project manager to complete the Checklist, or other staff who have managed elements of the project.
- As detailed below, the Checklist requires project collaboration with affected transit agencies and review by a local (city or county) Bicycle and Pedestrian Advisory Committee (BPAC). It is incumbent upon the project sponsor to review each relevant grant application process to ensure that BPAC review is completed before application submittal deadlines.
- If a project is claiming an exception, the Checklist must be signed by the agency's Director of Public Works, Transportation Department (or equivalent), or their designee (and not the Project Manager).

Complete Streets Checklist Content

Question 1: Bicycle, Pedestrian and Transit Planning

Is the project consistent with relevant Plans or other adopted policies?

All projects must implement CS as recommended in recently-adopted local or countywide plans, such as bicycle, pedestrian, active transportation, Vision Zero or other systemic safety or transit plan, or MTC-funded Community-Based Transportation Plans. In the Checklist, jurisdictions should list the plan, plan date, and plan recommendation of the project that is seeking funding. The county or local BPAC can help to assist in compliance of past plan implementation.

For example, if a plan calls for a Class IV separated bike lane and a raised crosswalk, and the project is seeking funding for a Class II with no raised crosswalk, this would not be implementing CS as recommended in local plan(s).

Please provide detail on local plans that include recommendations affecting the project area, including the local plan adoption date. If the project is inconsistent, provide explanation.

Question 2: Active Transportation (AT) Network

Use MTC's AT Network map to determine if the project area contains segments of the AT Network. For OBAG 3, project sponsors may use the interactive pdf map available through MTC staff and the MTC Complete Streets webpage and CTAs. (Final adoption of the AT Network is anticipated in July 2022)

If a project is on the regional AT Network, it should incorporate design principles based on "All Ages and Abilities," contextual guidance issued by NACTO, as well as PROWAG issued by the U.S, Access Board, as described above and detailed in the CS policy. Jurisdictions may determine how best to advance AT Network implementation, such as choice of roadway(s), trail alignment, facility type, and roadway treatment type within defined AT Network corridors - ¼ mile in incorporated communities, 1,000 ft. on the Bay Area Trails Collaborative Corridor and ½ mile in all other areas. These corridor widths vary by land use and facility type and are further defined/detailed on the AT Network map. See "Contextual Guidance for Selecting All Ages & Abilities Bikeways" below, and in the CS Checklist.

Local agency staff should collaborate with respective CTA staff when a project modifies or implements a segment on the AT Network. CTA staff will be responsible for compiling local AT Network updates for transmission to MTC. The Network will be updated every 2 years or as needed.

Contextual Guidance for Selecting All Ages & Abilities Bikeways

Contextual Guidance for Selecting All Ages & Abilities Bikeways

Roadway Context				All Ages & Abilities Bicycle Facility
Target Motor Vehicle Speed*	Target Max. Motor Vehicle Volume (ADT)	Motor Vehicle Lanes	Key Operational Considerations	
Any		*Any*	*Any of the following:* high curbside activity, frequent buses, motor vehicle congestion, or turning conflicts‡	**Protected Bicycle Lane**
< 10 mph	Less relevant	No centerline, or single lane one-way	Pedestrians share the roadway	**Shared Street**
≤ 20 mph	≤ 1,000 – 2,000		< 50 motor vehicles per hour in the peak direction at peak hour	**Bicycle Boulevard**
≤ 25 mph	≤ 500 – 1,500			
	≤ 1,500 – 3,000	Single lane each direction, or single lane one-way	Low curbside activity, or low congestion pressure	**Conventional or Buffered Bicycle Lane, or Protected Bicycle Lane**
	≤ 3,000 – 6,000			**Buffered or Protected Bicycle Lane**
	Greater than 6,000			**Protected Bicycle Lane**
	Any	Multiple lanes per direction		
Greater than 26 mph†	≤ 6,000	Single lane each direction	Low curbside activity, or low congestion pressure	**Protected Bicycle Lane, or Reduce Speed**
		Multiple lanes per direction		**Protected Bicycle Lane, or Reduce to Single Lane & Reduce Speed**
	Greater than 6,000	*Any*	*Any*	**Protected Bicycle Lane, or Bicycle Path**
High-speed limited access roadways, natural corridors, or geographic edge conditions with limited conflicts		*Any*	High pedestrian volume	**Bike Path with Separate Walkway or Protected Bicycle Lane**
			Low pedestrian volume	**Shared-Use Path or Protected Bicycle Lane**

*While posted or 85th percentile motor vehicle speed are commonly used design speed targets, 95th percentile speed captures high-end speeding, which causes greater stress to bicyclists and more frequent passing events. Setting target speed based on this threshold results in a higher level of bicycling comfort for the full range of riders.

†Setting 25 mph as a motor vehicle speed threshold for providing protected bikeways is consistent with many cities' traffic safety and Vision Zero policies. However, some cities use a 30 mph posted speed as a threshold for protected bikeways, consistent with providing Level of Traffic Stress level 2 (LTS 2) that can effectively reduce stress and accommodate more types of riders.[18]

‡Operational factors that lead to bikeway conflicts are reasons to provide protected bike lanes regardless of motor vehicle speed and volume.

Question 3: Safety and Comfort

Safety shall be prioritized for all modes, especially the safety of vulnerable road users, including people biking, walking and rolling. The safety of vulnerable roadway users should not be compromised to achieve improved level of service for people driving personal automobiles. Projects are encouraged to utilize MTC's Vision Zero safety analyses, High Injury Network (HIN) and other technical assistance, and to include traffic calming or other speed management features to reduce motor vehicle speed through physical design.

Question 3A: Is the Project on a known High Injury Network (HIN) or has a local traffic safety analysis found a high incidence of bicyclist/pedestrian crashes within the Project area?

Please list the project's traffic safety measures and describe the Systemic Safety Analysis Report, Vision Zero Action Plan, High Injury Network, or other analysis of the project area. The Bay Area Vision Zero system [https://bayviz.mysidewalk.com] can help to identify local and regional HINs.

Level of Traffic Stress/Facility Suitability

Question 3B: Does the project seek to improve bicyclist and/or pedestrian conditions? If the project includes a bikeway, was a Level of Traffic Stress (LTS), or similar user experience analyses conducted? Level of Traffic Stress (LTS) is an approach that quantifies the amount of discomfort that people feel when they bicycle close to traffic. The methodology was developed in 2012 by the Mineta Transportation Institute and San Jose State University.

If yes, please describe how the project seeks to provide low-stress transportation facilities or reduces a facility's LTS.

Question 4: Transit Coordination

If a project includes a transit stop/station, or is located along a transit route, the Checklist must include written documentation (e.g., email) by the affected transit agency(ies) to confirm transit agency coordination and acknowledgement of the project.

Question 4A: Are there existing public transit facilities (stop or station) abutting or within the project ROW? List transit facilities (stop, station, or route) and all affected agencies.

Question 4B: Have all potentially affected transit agencies had the opportunity to review this project?

If yes to 4A, please reference the list of Transit Agency Contacts. The project sponsor shall communicate and coordinate with all transit agencies with operations affected by the proposed project. The project sponsor should save email communication documenting transit agency communication/coordination for submittal with the Checklist.

Question 4C: Is there a Mobility Hub within the project area? If yes, please describe improvements and any coordination efforts with affected mobility providers, incl. bike share, scooters, car share.

Mobility Hubs are places in a community that bring together public transit, bike share, car share and other ways for people to get where they want to go without a private vehicle. Mobility hubs offer a safe, comfortable, convenient, and accessible space to seamlessly transfer from one type of transportation to another. Built around frequent and high-capacity transit, mobility hubs offer a safe, comfortable, convenient, and accessible space to seamlessly transfer from one type of transportation to another.

Mobility Hubs offer access to many different ways of getting around. MTC coordinates, funds, and provides technical assistance for new Mobility Hubs to support first and last mile connections through access to multiple travel options.

Where are Bay Area Mobility Hubs?

Mobility hubs can be located where transit services already come together, or in communities and locations where transportation is needed the most. MTC has prioritized pilot investments for regionally significant mobility hubs. MTC's Mobility Hub Locations can be found on the Mobility Hub website.

Question 5: Design

Does the project meet professional design standards or guidelines appropriate for bicycle and/or pedestrian facilities?

Examples of applicable design guidance documents include (but are not limited to):

American Association of State Highway and Transportation Officials (AASHTO) - A Policy on Geometric Design of Highway and Streets, Guide for the Development of Bicycle Facilities, Guide for the Planning, Design, and Operation of Pedestrian Facilities; Public Right-of-Way Accessibility Guide (PROWAG); Manual on Uniform Traffic Control Devices (MUTCD); Americans with Disabilities Act Accessibility Guidelines (ADAAG); National Association of City Transportation Officials (NACTO) - Urban Bikeway Design Guide.

Please provide Class designation for bikeways. Cite design standards used.

Question 6: Equity

At MTC, equity means "inclusion into a Bay Area where everyone can participate, prosper, and reach their full potential." MTC's Equity Platform is based on a commitment to meaningfully reverse disparities in access and dismantle systemic exclusion. For MTC's CS Policy, projects enhancing active transportation in Equity Priority Communities (EPC) and/or implementing recommendations from Community-Based Transportation Plans shall be given priority consideration in applicable regional discretionary funding programs. Projects located in EPCs should document the meaningful engagement that has occurred within the community to advance the project.

MTC's Community-Based Transportation Plans (CBTPs) take a grass-roots approach to addressing transportation issues facing low-income communities around the Bay Area. Community-Based Transportation Plans (CBTPs) bring local residents, community organizations and transportation agencies together to improve mobility options for low-income communities. These community-led plans identify the most important transportation challenges in low-income neighborhoods and develop strategies to overcome them. Completed CBTPs often include a high proportion of active transportation recommendations to address community identified

transportation issues. The project sponsor should identify whether the project is implementing or addressing an active transportation solution included in a CBTP.

Question 7: BPAC Review

The goal of the Bicycle and Pedestrian Advisory Committee (BPAC) review requirement is to ensure a level of public review of projects affecting the public right-of-way, with a particular emphasis on accessibility, bicycle and pedestrian safety, and connectivity.

The required BPAC review of the Checklist is typically conducted during the grant application process.

Has a local (city or county) Bicycle and Pedestrian Advisory Commission (BPAC) reviewed this checklist (or for OBAG 3, this project)? If yes, please include meeting date(s) and a summary of the BAPC comments as state in meeting minutes.

Statement of Exception

The CS policy shall apply to all phases of project development except under one or more of these four exception conditions:

1. The affected roadway is legally prohibited for use by bicyclists and/or pedestrians.
2. The costs of providing Complete Streets improvements are excessively disproportionate to the need or probable use (defined as more than 20 percent for Complete Streets elements of the total project cost).
3. There is a documented Alternative Plan to implement Complete Streets and/or on a nearby parallel route.
4. Conditions exist in which Complete Streets policy requirements cannot be met, such as fire and safety specifications, spatial conflicts on the roadway with transit, or environmental concerns such abutting conservation land or severe topological constraints.

PW/DOT Director Signature for Exception

To claim an exception, project sponsors must provide documentation in the Checklist detailing how the project meets one or more of the exception conditions. Exceptions must be signed by the agency's Director of Public Works, Transportation Department (or equivalent), or their designee, and not the Project Manager. The project sponsor shall collect the PW or DOT Director (electronic or signed) signature on the CS Checklist. A Complete Streets Checklist claiming an exception must still be reviewed by a local BPAC review, as stated above.

Checklist Submittal

MTC staff are automatically notified when Checklists are emailed to completestreets@bayareametro.gov. MTC staff review the checklist for completeness and compliance and communicate findings to the applicant and MTC grant managers. In the case of

exceptions, MTC staff may engage with the project sponsor to discuss whether modifications to the project may better achieve compliance with the CS Policy.

Complete Streets Compliance Tracking & Reporting

MTC will produce an annual summary of CS Checklists received from all projects that were awarded regional discretionary funding or endorsement. The report will also include a list of all exceptions claimed, by jurisdiction. The report will be provided as an information item on a forthcoming meeting agenda of the Joint MTC Planning Committee with the ABAG Administrative Committee.

Additionally, MTC staff, in partnership with CTAs, will provide the Joint MTC Planning Committee with the ABAG Administrative Committee a Complete Streets Policy Implementation Report aligned with the development of One Bay Area Grant Program (OBAG) funding cycles. The first such report will be provided in advance of OBAG 4 Program Guidelines. The report will reflect on the evaluation of Complete Streets Policy implementation (Complete Streets projects implemented from local plans and All Ages and Abilities facilities on the AT Network), as well as the Checklist review process, and may recommend program modifications as needed.

One Bay Area Grant (OBAG 3) – County & Local Program
Supplemental Air Quality Inputs

Background & Instructions

When selecting projects for federal Congestion Mitigation and Air Quality Improvement Program (CMAQ) funding, MTC will consider emissions reductions associated with each project as well as the cost-effectiveness of those emissions reductions. MTC staff will calculate anticipated emissions reductions for all eligible projects applying for One Bay Area Grant (OBAG 3) County and Local Program funds. Applicants with projects eligible for CMAQ funding must provide these supplemental inputs in addition to the standard project application (see MTC Resolution No. 4505, Appendix A-1). Please refer to FHWA's CMAQ fact sheet for eligibility questions.

This form must be completed and submitted (in Word document form) with each CMAQ-eligible OBAG 3 County & Local Program project application. Applicants should complete the General Information section for all CMAQ-eligible projects, along with any applicable subsequent section(s) based on project type. Measurements of current conditions (e.g. existing traffic volume) should use the most recent available data. For current transit ridership, FTA's National Transit Database (NTD) is the preferred data source. Projected future conditions (e.g. future traffic volume) should use the sponsor's best estimates given the information available.

For assistance completing this form, please contact Thomas Arndt at tarndt@bayareametro.gov.

General Information (All CMAQ-Eligible Projects)

Project Name:	*Project name*
Location: *County*	*Select county*
Funding Request: *OBAG 3 amount*	*Funding request*
Completion Year:	*Year*
General Notes: *Optional*	*General notes (optional)*

Bicycle & Pedestrian Facilities

Facility Length/Type: *One row per facility type, include length units*	*Select facility type*	*Project length*	*Total facility length (incl. project)*
	Select facility type	*Project length*	*Total facility length (incl. project)*
	Select facility type	*Project length*	*Total facility length (incl. project)*
	Select facility type	*Project length*	*Total facility length (incl. project)*
Crossing Count/Type: *One row per facility type*	*Select crossing type*	*Crossing count*	
	Select crossing type	*Crossing count*	
Bike Station Count: *Number added*	*Bike station count*		
Roadway Type: *Functional class, for on-street facilities*	*Roadway type*		
Roadway Lanes: *Both directions*	*Lane count*		
Posted Speed Limit: *MPH*	*Posted speed limit*		
Daily Traffic: *Average annual daily traffic volume (AADT), both directions*	*Average daily traffic*		

Daily Traffic Year: *Year AADT measured (use most recent data available)*	*Measurement year*
Parallel Roadway Type, if Applicable: *Functional class of adjacent corridor*	*Roadway type*
Parallel Roadway Lanes, if Applicable: *Both directions*	*Lane count*
Parallel Posted Speed Limit, if Applicable: *MPH*	*Posted speed limit*
Parallel Daily Traffic, if Applicable: *Average annual daily traffic volume (AADT), both directions*	*Average daily traffic*
Parallel Daily Traffic Year, if Applicable: *Year parallel AADT measured (use most recent data available)*	*Measurement year*
Nearby Destinations: *Activity centers within ½ mile of project, including banks, churches, hospitals/ clinics, light rail stations, office parks, post office, libraries, shopping areas, universities/colleges*	*Destination count*
Nearby Colleges/ Universities: *Within 2 miles of project*	*College and/or university count*
Additional Notes: *Optional*	*Additional notes (optional)*

Rideshare Programs

Average Current Daily Ridership: *Average number of weekday riders prior to project implementation*	*Average current ridership*
Ridership Year: *Year ridership measured (use most recent data available)*	*Measurement year*
Ridership Source: *Source of ridership data (NTD preferred)*	*Ridership source*

Projected Future Daily Ridership: *Estimated number of weekday riders after project implementation*	*Projected future ridership*
Additional Notes: *Optional*	*Additional notes (optional)*

Carshare Programs

Vehicles Available: *Number of carshare vehicles available*	*Carshare vehicle count*
Conventional Membership: *Number of monthly members*	*Conventional carshare monthly member count*
One-Way Membership: *Number of one-way monthly members*	*One-way carshare monthly member count*
Additional Notes: *Optional*	*Additional notes (optional)*

Bike Share & Scooter Share Programs

Micromobility Fleet Size/Ridership: *One row per micromobility mode, ridership is average weekday*	*Select fleet type*	*Fleet size (count)*	*Daily ridership*
	Select fleet type	*Fleet size (count)*	*Daily ridership*
	Select fleet type	*Fleet size (count)*	*Daily ridership*
Ridership Year: *Year ridership measured (use most recent data available)*	*Measurement year*		
Ridership Source: *Source of ridership data*	*Ridership source*		
Additional Notes: *Optional*	*Additional notes (optional)*		

Transit Improvements – Roadway

Current Daily Ridership: *Average number of current weekday riders*	*Current daily rider count*
Ridership Year: *Year ridership measured (use most recent data available)*	*Measurement year*
Ridership Source: *Source of ridership data (NTD preferred)*	*Ridership source*

Future Daily Ridership: *Projected number of weekday riders*	*Future daily rider count*
Daily Revenue Miles: *Weekday transit vehicle revenue miles (total)*	*Daily revenue miles*
Project Length: *Length of roadway improvements*	*Project length (include units)*
Current Route Length: *Length of current route*	*Current route length (include units)*
Future Route Length: *Length of completed route*	*Future route length (include units)*
Additional Notes: *Optional*	*Additional notes (optional)*

Transit Improvements – Rail/Ferry

Parking Spaces Added/Removed: *If applicable*	*Change in parking spaces*
Current Daily Ridership: *Average number of current weekday riders*	*Current daily rider count*
Ridership Year: *Year ridership measured (use most recent data available)*	*Measurement year*
Ridership Source: *Source of ridership data (NTD preferred)*	*Ridership source*
Future Daily Ridership: *Projected number of weekday riders*	*Future daily rider count*
Description: *List elements resulting in service and/or frequency improvements*	*Description of improvements*
Additional Notes: *Optional*	*Additional notes (optional)*

Transit Improvements – Station

Parking Spaces Added/Removed: *If applicable*	*Change in parking spaces*
New Stop Count: *Number of new bus bays/ stops, rail platforms*	*New bus stop/bay, rail platform count*

Roadway Improvements: *List roadway improvements, including intersection improvements, added turn lanes, new capacity, and length*	*Description of roadway improvements*
Active Transportation Improvements: *List bicycle/pedestrian access improvements, including length of new path if applicable*	*Description of bicycle/pedestrian improvements*
Additional Notes: *Optional*	*Additional notes (optional)*

Transit Fleet Expansion

Current Daily Ridership: *Average number of current weekday riders*	*Current daily rider count*
Ridership Year: *Year ridership measured (use most recent data available)*	*Measurement year*
Ridership Source: *Source of ridership data (NTD preferred)*	*Ridership source*
Future Daily Ridership: *Projected number of weekday riders*	*Future daily rider count*
Additional Vehicles:	*Number of new vehicles*
Daily Service Miles: *Weekday transit vehicle revenue miles per vehicle*	*Daily service miles per vehicle*
Engine Type:	*Vehicle engine type*
Additional Notes: *Optional*	*Additional notes (optional)*

Zero-Emissions Transit Fleet Replacement

Vehicles Replaced:	*Number of new vehicles*
Daily Service Miles: *Weekday transit vehicle revenue miles per vehicle*	*Daily service miles per vehicle*
Existing Engine Type:	*Existing engine type*
Replacement Engine Type:	*Replacement engine type*
Additional Notes: *Optional*	*Additional notes (optional)*

Electric Vehicle Charging Stations

Station Type:	*Charging station type*
Station Count:	*Charging station count*
Additional Notes: *Optional*	*Additional notes (optional)*

Traffic Signal Synchronization

AM Peak Volume: *Average weekday AM peak hour vehicles/hour*	*AM peak volume*
PM Peak Volume: *Average weekday PM peak hour vehicles/hour*	*PM peak volume*
Off-Peak Volume: *Average weekday off-peak vehicles/hour*	*Off-peak volume*
Traffic Volume Year: *Year traffic volumes measured (use most recent data available)*	*Measurement year*
Current Speed: *Current average speed, in MPH*	*Current average speed*
Current Speed Year: *Year average speed measured (use most recent data available)*	*Measurement year*
Future Speed: *Projected average speed after project, in MPH*	*Projected average speed*
Project Length: *Length of impacted roadway segment(s)*	*Roadway length (include units)*
Roadway Type: *Functional class*	*Roadway type*
Additional Notes: *Optional*	*Additional notes (optional)*

Roundabouts

Average Daily Volume: *Average annual daily traffic volume (AADT), both directions*	*Average annual daily traffic volume*
Truck Percentage: *If applicable*	*Truck percentage*
AM Peak Delay: *Average weekday AM peak hour intersection delay seconds/vehicle*	*AM peak delay per vehicle*

PM Peak Delay: *Average weekday PM peak hour intersection delay seconds/vehicle*	*PM peak delay per vehicle*			
Off-Peak Delay: *Average weekday off-peak hour intersection delay seconds/vehicle*	*Off-peak delay per vehicle*			
Measurement Year: *Year traffic volume, composition, delay measured (use most recent data available)*	*Measurement year*			
Roadway Type: *Functional class*	*Roadway type*			
Existing Turn Percentages: *One row per existing approach*	*Approach*	*Left %*	*Right %*	*U-turn %*
	Approach	*Left %*	*Right %*	*U-turn %*
	Approach	*Left %*	*Right %*	*U-turn %*
	Approach	*Left %*	*Right %*	*U-turn %*
	Approach	*Left %*	*Right %*	*U-turn %*
	Approach	*Left %*	*Right %*	*U-turn %*
Roundabout Entry Lanes: *One row per proposed approach*	*Approach*	*Number of lanes*		
	Approach	*Number of lanes*		
	Approach	*Number of lanes*		
	Approach	*Number of lanes*		
	Approach	*Number of lanes*		
	Approach	*Number of lanes*		
Circulating Lanes: *Proposed number of circulating lanes*	*Number of circulating lanes*			
Additional Notes: *Optional*	*Additional notes (optional)*			

Intersection Improvements

Project Area Type: *One option per column*	☐ Urban ☐ Rural	☐ Business District ☐ Not a Business District
Existing Signalization: *Select as applicable*	☐ Signalized ☐ Unsignalized	☐ Left turn phase ☐ Right turn phase
Daily Peak Hours: *AM and PM*	*Number of peak hours per day*	
Peak Hour Volume: *Average weekday peak hour vehicles/hour, both directions*	*Peak hour volume*	
Truck Percentage: *If applicable*	*Truck percentage*	
Existing Delay: *Average weekday intersection delay seconds/vehicle*	*Average delay per vehicle*	

Measurement Year: *Year traffic volume, composition, delay measured (use most recent data available)*	*Measurement year*	
Proposed Signalization: *Select as applicable*	☐ Signalized ☐ Unsignalized	☐ Left turn phase ☐ Right turn phase
Proposed Signal Time: *Cycle length (seconds)*	*Cycle length*	
Green Time Ratio: *Ratio of green time per cycle time*	*Green time ratio*	
Left Turn Lanes Added: *Number added, single direction*	*Number of left turn lanes added*	
Additional Notes: *Optional*	*Additional notes (optional)*	

Attachment 6

One Bay Area Grant (OBAG) Cycle 3

Draft San Francisco Screening and Prioritization Criteria

To develop a program of projects for San Francisco's OBAG 3 County Program, the San Francisco County Transportation Authority (Transportation Authority) will first screen candidate projects for eligibility and then will prioritize eligible projects based on evaluation criteria. The Metropolitan Transportation Commission's (MTC's) OBAG 3 guidelines set most of the screening and evaluation criteria to ensure the program is consistent with Plan Bay Area and federal funding guidelines. We have added a few additional criteria to better reflect the particular conditions and needs of San Francisco and allow us to better evaluate project benefits and project readiness (as indicated by underlined text).

OBAG 3 Screening Criteria

Projects must meet all screening criteria in order to be considered further for OBAG funding. The screening criteria will focus on meeting the eligibility requirements for OBAG funds and include:

Screening Criteria for All Types of Projects

1. Project sponsor is eligible to receive federal transportation funds.
2. Project must be eligible for STP or CMAQ funds, as detailed in 23 USC Sec. 133 and at https://www.fhwa.dot.gov/fastact/factsheets/stbgfs.cfm (STP), and in 23 USC Sec. 149 and at http://www.fhwa.dot.gov/environment/air_quality/ cmaq/policy_and_guidance/ (CMAQ).
3. Project scope must be consistent with the intent of OBAG and its broad eligible uses. For more information, see MTC Resolution 4505 Attachment A: OBAG 3 Project Selection and Programming Policies and Attachment A, Appendix A-1: County & Local Program Call for Projects Guidelines.
4. Project must be consistent with Plan Bay Area 2050, available at https://www.planbayarea.org/ and the San Francisco Transportation Plan (SFTP 2017 or the underway SFTP update).
5. Project must demonstrate the ability to meet all OBAG 3 programming policy requirements described in MTC Resolution 4505, including timely use of funds requirements.
6. Project sponsor is requesting a minimum of $500,000 in OBAG funds.
7. Project has identified the required 11.47% local match in committed or programmed funds, including in-kind matches for the requested phase. Alternatively, for capital projects the project sponsor may demonstrate fully funding the pre-construction phases (e.g. project development, environmental or design) with local funds and claim toll credits in lieu of a match for the construction phase. In order to claim toll credits, project sponsors must still meet all federal requirements for the pre-construction phases even if fully-funded.
8. Sponsors shall follow the selection and contracting procedures in the Caltrans Local Assistance Procedures Manual, as applicable.

Additional Screening Criteria for Street Resurfacing Projects

1. Project selection must be based on the analysis results of federal-aid eligible roads from San Francisco's certified Pavement Management System.

2. Pavement rehabilitation projects must have a PCI score of 70 or below. Preventive maintenance projects with a PCI rating of 70 or above are eligible only if the Pavement Management System demonstrates that the preventive maintenance strategy is a cost-effective method of extending the service life of the pavement.

OBAG 3 Prioritization Criteria

Projects that meet all of the OBAG screening criteria will be prioritized for OBAG funding based on, but not limited to the factors listed below. The Transportation Authority reserves the right to modify or add to the prioritization criteria in response to additional MTC guidance and if necessary to prioritize a very competitive list of eligible projects that exceed available programming capacity.

Based on MTC Resolution 4505 and Transportation Authority Board priorities, additional weight will be given to projects that:

1. Are located in Priority Development Areas (PDAs) or Transit-Rich Areas (TRAs), identified in locally adopted plans for PDAs, or support preservation of Priority Production Areas (PPAs). OBAG establishes a minimum requirement that 70% of OBAG funds in San Francisco be used on PDA supportive projects.
2. Are located in jurisdictions with affordable housing protection, preservation, and production strategies, including an emphasis on community stabilization and anti-displacement policies with demonstrated effectiveness.
3. Invest in historically underserved communities, including projects prioritized in a Community-Based Transportation Planning (CBTP) or Participatory Budgeting process, or projects located within Equity Priority Communities with demonstrated community support. Priority will be given to projects that directly benefit disadvantaged populations, whether the project is directly located in an Equity Priority Community or can demonstrate benefits to disadvantaged populations.
4. Address federal performance management requirements by supporting regional performance goals for roadway safety, asset management, environmental sustainability, or system performance. For more information on federal performance management, please visit: https://mtc.ca.gov/planning/transportation/federal-performance-targets.
5. Implement multiple Plan Bay Area 2050 strategies.
6. Demonstrate consistency with other regional plans and policies, including the Regional Safety/Vision Zero policy, Equity Platform, Regional Active Transportation Plan (*under development*), Transit Oriented Communities (TOC) policy update (*under development*), and the Blue Ribbon Transit Transformation Action Plan.
7. Demonstrate public support from communities disproportionately impacted by past discriminatory practices, including redlining, racial covenants, urban renewal, and highway construction that divided low-income and communities of color. Projects with clear and diverse community support, including from disadvantaged populations (e.g., communities historically

harmed by displacement, transportation projects and policies that utilized eminent domain, people with low incomes, people of color) and/or identified through a community-based planning process will be prioritized. An example of a community-based plan is a neighborhood transportation plan, corridor improvement study, or station area plan that is community driven.

8. Demonstrate ability to meet project delivery requirements and can be completed in accordance with MTC's Regional Project Delivery Policy (MTC Resolution No. 3606, Revised) and can meet all OBAG 3 deadlines, and federal and state delivery requirements. Projects that can clearly demonstrate an ability to meet OBAG timely use of funds requirements will be given a higher priority. In determining the ability to meet project delivery requirements, the Transportation Authority will consider the project sponsor(s)' project delivery track record for federally funded projects. The Transportation Authority will also evaluate project readiness, including current phase/status of the project, environmental clearance (CEQA/NEPA), funding plan for future phases, and outreach completed or underway. Projects that do not have some level of community outreach or design complete will be given lower priority.
9. Increase safety. Projects that address corridors on the Vision Zero High Injury Network or other locations with a known safety issue will be given higher priority. Project sponsors must clearly define and provide data to support the safety issue that is being addressed and how the project will improve or alleviate the issue.
10. Have multi-modal benefits. Projects that support complete streets, including directly benefiting multiple system users (e.g. pedestrians, cyclists, transit passengers, motorists), will be prioritized.
11. Take advantage of construction coordination**.** Projects that are coordinated with other construction projects, such as making multi-modal improvements on a street that is scheduled to undergo repaving, will receive higher priority. Project sponsors must clearly identify related improvement projects, describe the scope, and provide a timeline for major milestones for coordination (e.g. start and end of design and construction phases).
12. Improve transit reliability and accessibility. Priority will be given to projects that increase transit accessibility, reliability, and connectivity (e.g. stop improvements, transit stop consolidation and/or relocation, transit signal priority, traffic signal upgrades, travel information improvements, wayfinding signs, bicycle parking, and improved connections to regional transit). Additional priority will be given to projects that support the existing or proposed rapid network or rail, including projects identified in transit performance plans or programs such as the San Francisco Municipal Transportation Agency's Muni Forward program.
13. Improve access to schools, senior centers, and other community sites. Priority will be given to infrastructure projects that improve access to schools, senior centers, and/or other community sites.
14. Have limited other funding options. Sponsors should justify why the project is ineligible, has very limited eligibility, or competes poorly to receive other discretionary funds.
15. Demonstrate fund leveraging. Priority shall be given to projects that can demonstrate leveraging of OBAG funds above and beyond the required match of 11.47%.

Additional Considerations

Project Sponsor Priority: For project sponsors that submit multiple OBAG applications, the Transportation Authority will consider the project sponsor's relative priority for its applications.

Geographic Equity: Programming will reflect fair geographic distribution that takes into account the various needs of San Francisco's neighborhoods. This factor will be applied program-wide and to individual projects with improvements at multiple locations, as appropriate.

The Transportation Authority will work closely with project sponsors to clarify scope, schedule and budget; and modify programming recommendations as needed to help optimize the projects' ability to meet timely use of funds requirements.

If the amount of OBAG funds requested exceeds available funding, we reserve the right to negotiate with project sponsors on items such as scope and budget changes that would allow us to develop a recommended OBAG project list that best satisfies all of the aforementioned prioritization criteria.

In order to fund a greater number of projects, we may not recommend projects strictly in score order if we, working with MTC, are unable to match the project to OBAG 3 fund sources eligibility (e.g. CMAQ vs. STP) and/or of we are able to recommend projects for other fund sources the Transportation Authority administers if it will enable us to fund lower scoring OBAG 3 projects that would have a harder time securing other funds, thus funding more projects overall.

Metropolitan Transportation Commission (MTC)
Regional Project Funding Delivery Policy Guidance for
FHWA-Administered Federal Funds
In the San Francisco Bay Area
MTC Resolution 3606
January 22, 2014

Regional Project Funding Delivery Policy Intent

The intent of the regional funding delivery policy is to ensure implementing agencies do not lose any funds due to missing a federal or state funding deadline, while providing maximum flexibility in delivering transportation projects. It is also intended to assist the region in managing Obligation Authority (OA) and meeting federal financial constraint requirements. MTC has purposefully established regional deadlines in advance of state and federal funding deadlines to provide the opportunity for implementing agencies, Congestion Management Agencies (CMAs), Caltrans, and MTC to solve potential project delivery issues and bring projects back in-line in advance of losing funds due to a missed funding deadline. The policy is also intended to assist in project delivery, and ensure funds are used in a timely manner.

Although the policy guidance specifically addresses the Regional Discretionary Funding managed by MTC, the state and federal deadlines cited apply to all federal-aid funds administered by the state (with few exceptions such as congressionally mandated projects including Earmarks which come with their own assigned OA). Implementing agencies should pay close attention to the deadlines of other state and federal funds on their projects so as not to miss any other applicable funding deadlines, such as those imposed by the CTC on funds it administers and allocates.

This regional project delivery policy guidance was developed by the San Francisco Bay Area's Partnership, through the working groups of the Bay Area Partnership Technical Advisory Committee's (PTAC) consisting of representatives of Caltrans, county Congestion Management Agencies (CMAs), transit operators, counties, cities, interested stakeholders, and MTC staff.

General Policy Guidance

As the federally designated Metropolitan Planning Organization (MPO) and the agency serving as the Regional Transportation Planning Agency (RTPA) for the nine-counties of the San Francisco Bay Area, the Metropolitan Transportation Commission (MTC) is responsible for various funding and programming requirements, including, but not limited to: development and submittal of the Regional Transportation Improvement Program (RTIP); managing and administering the federal Transportation Improvement Program (TIP); and project selection for designated federal funds (referred collectively as 'Regional Discretionary Funding');

As a result of the responsibility to administer these funding programs, the region has established various deadlines for the delivery of regional discretionary funds including the

regional Surface Transportation Program (STP), Congestion Mitigation and Air Quality Improvement (CMAQ) Program, regional Transportation Alternatives Program (TAP) and Regional Transportation Improvement Program (RTIP) to ensure timely project delivery against state and federal funding deadlines. MTC Resolution 3606 establishes standard guidance and policy for enforcing project funding deadlines for these and other FHWA-administered federal funds during the Safe, Accountable, Flexible, Efficient Transportation Equity Act: A Legacy for Users (SAFETEA-LU) the Moving Ahead for Progress in the 21st Century (MAP 21) and subsequent extensions and federal transportation acts.

Once FHWA-administered funds are transferred to FTA, non-applicable provisions of this policy guidance no longer apply. The project sponsor must then follow FTA guidance and requirements.

FHWA-administered federal funds are to be programmed in the federal Transportation Improvement Program (TIP), up to the apportionment level for that fiscal year, in the fiscal year in which the funds are to be obligated by the Federal Highway Administration (FHWA) or transferred to the Federal Transit Administration (FTA).

The regional discretionary funds such as the RTIP, STP, CMAQ and regional-TAP funds are project specific. Projects are chosen for the program based on eligibility, project merit, and deliverability within the established deadlines. The regional discretionary funds are for those projects alone, and may be used for any phase of the project, unless otherwise specified at the time of programming, in accordance with Caltrans procedures and federal regulations.

It is the responsibility of the implementing agency at the time of project application and programming to ensure the regional deadlines and provisions of the regional project funding delivery policy can be met. Agencies with difficulty in delivering existing FHWA federal-aid projects will have future programming and Obligation Authority (OA) restricted for additional projects until the troubled projects are brought back on schedule, and the agency has demonstrated it can deliver new projects within the funding deadlines and can meet all federal-aid project requirements.

MTC staff will actively monitor and report the obligation status of projects to the Working Groups of the Bay Area Partnership. The Working Groups will monitor project funding delivery issues as they arise and make recommendations to the Partnership Technical Advisory Committee (PTAC) as necessary.

The implementing agency or MTC may determine that circumstances may justify changes to the regional discretionary fund programming. These changes, or revisions to these regional programs, are not routine. Proposed changes will be reviewed by MTC staff before any formal actions on program amendments are considered by the MTC Commission. Regional discretionary funds may be shifted among any phase of the project without the concurrence or

involvement of MTC if allowed under Caltrans procedures and federal regulations. All changes must follow MTC policies on the Public Involvement Process and Federal Air Quality Procedures and Conformity Protocol. Changes must be consistent with the Regional Transportation Plan (RTP), must not adversely affect the expeditious implementation of Transportation Control Measures (TCMs), must comply with the provisions of Title VI, must not negatively impact the deliverability of other projects in the regional programs, and must not affect the conformity finding in the TIP. Additionally, any changes involving funding managed by the California Transportation Commission (CTC), such as RTIP and TAP, must also follow the CTC's processes for amendments and fund management.

Regional Discretionary Funding:

Regional Discretionary Funding is revenue assigned to MTC for programming and project selection, including but not limited to funding in the Regional Transportation Improvement Program (RTIP), Surface Transportation Program (STP) funding, Congestion Mitigation and Air Quality Improvement (CMAQ) funding, regional Transportation Alternatives Program (TAP) funding and any subsequent federal funding programs at MTC's discretion. The funds are referred collectively as Regional Discretionary Funding.

Programming to Apportionment in the year of Obligation/Authorization

Federal funds are to be programmed in the TIP, up to the apportionment level available, in the fiscal year in which the funds are to be obligated by FHWA or transferred to FTA. The implementing agency is committed to obligate/transfer the funds by the required obligation deadline once the program year in the TIP becomes the current year, and the regional annual Obligation Plan has been developed for that year. This will improve the overall management of federal apportionment and Obligation Authority (OA) within the region and help ensure apportionment and OA are available for projects that are programmed in a particular year. It will also assist the region in meeting federal financial constraint requirements. At the end of the federal authorization act, MTC will reconcile any differences between final apportionments, programmed amounts, obligations and actual OA received for the funds it manages.

Advanced Project Selection Process

Obligations for funds advanced from future years of the TIP will be permitted only upon the availability of surplus OA, with Advance Construction Authorization (ACA) projects in the annual obligation plan having first priority for OA in a given year, and current programmed projects that have met the delivery deadlines having second priority for OA in a given year. Advanced obligations will be based on the availability of OA and generally will only be considered after January 31 of each fiscal year. In some years OA may not be available for advancements until after May 1, but the funds must be included in the annual obligation plan, and the obligation request for the advanced OA should be received by Caltrans prior to May 1.

Agencies requesting advanced funding should be in good standing in meeting deadlines for other FHWA federal-aid projects. Restrictions may be placed on the advancement of funds for

agencies that continue to have difficulty delivering projects within required deadlines or have current projects that are not in compliance with funding deadlines and federal-aid requirements. MTC may consult with FHWA, Caltrans and/or the appropriate Congestion Management Agency (CMA) to determine whether the advancement of funds is warranted and will not impact the delivery of other projects.

Implementing agencies wishing to advance projects may request Advance Construction Authorization from FHWA, or pre-award authority from FTA, to proceed with the project using local funds until OA becomes available. ACA does not satisfy the obligation deadline requirement.

Important Tip*:* Caltrans releases unused local OA by May 1 of each year. Projects that do not access their OA through obligation or transfer to FTA by that date are subject to having their funds taken by other regions. This provision also allows the advancement of projects after May 1, by using unclaimed OA from other regions.

Advance Construction Authorization (ACA)

Agencies that cannot meet the regional, state or federal deadlines subsequent to the obligation deadline (such as award and invoicing deadlines) have the option to use Advance Construction Authorization (ACA) rather than seeking an obligation of funds and risk losing the funds due to missing these subsequent deadlines. For example if the expenditure of project development funds or award of a construction contract, or project invoicing cannot easily be met within the required deadlines, the agency may consider using ACA until the project phase is underway and the agency is able to meet the deadlines. The use of ACA may also be considered by agencies that prefer to invoice once – at the end of the project, rather than invoice on the required semi-annual basis. When seeking this option, the project sponsor must program the local funds supporting the ACA in the same year of the TIP as the ACA, and program an equal amount of federal funds in the TIP in the year the ACA will be converted to a funding authorization.

ACA conversion to full obligation receives priority in the annual obligation plan. MTC will monitor the availability of OA to ensure delivery of other projects is not impacted by ACA conversions. At the end of the federal authorization Act, ACA may be the only option available should the region's OA be fully used.

Project Cost Savings/Changes in Scope/Project Failures – For FHWA-Administered Funds Managed By MTC (Regional Discretionary Funding)

Projects may be completed at a lower cost than anticipated, or have a minor change in scope resulting in a lower project cost, or may not proceed to implementation. In such circumstances, the implementing agency must inform MTC, Caltrans and the appropriate county Congestion Management Agency (CMA) within a timely manner that the funds resulting from these project funding reductions will not be used. Federal regulations require that the project proceed to

construction within ten years of initial federal authorization of any phase of the project. Furthermore, if a project is canceled, or fails to proceed to construction or right of way acquisition in ten years, FHWA will de-obligate any remaining funds, and the agency may be required to repay any reimbursed funds.

Project funding reductions accrued prior to the established obligation deadline are available for redirection within the program of origin. Savings within the CMA administered programs are available for redirection within the program by the respective CMA, subject to Commission approval. Project funding reductions within regional programs, are available for redirection by the Commission. For all programs, projects using the redirected funding reductions prior to the obligation deadline must still obligate the funds within the original deadline.

Minor adjustments in project scope may be made to accommodate final costs, in accordance with Caltrans (and if applicable, CTC) procedures and federal regulation. However, Regional Discretionary Funding managed by MTC and assigned to the project is limited to the amount approved by MTC for that specific project. Once funds are de-obligated, there is no guarantee replacement funding will be available for the project. However, in rare instances, such as when a project becomes inactive, funds de-obligated from a project may be made available for that project once again, as long as the de-obligated funds are not rescinded and are re-obligated within the same federal fiscal year.

For federal regional discretionary funds managed by MTC, any funding reductions or unused funds realized after the obligation deadline return to MTC. Any Regional Discretionary Funding such as STP/CMAQ funds that have been obligated but remain unexpended at the time of project close-out will be de-obligated and returned to the Commission for reprogramming. However, for funding administered by the CTC, such as STIP funds, any unexpended funds at the time of project close-out are returned to the state rather than the region.

In selecting projects to receive redirected funding, the Commission may use existing lists of projects that did not receive funding in past programming exercises, or direct the funds to agencies with proven on-time project delivery, or could identify other projects with merit to receive the funding, or retain the funding for future programming cycles. Final decisions regarding the reprogramming of available funds will be made by the Commission.

Important Tip: If a project is canceled and does not proceed to construction or right of way acquisition within 10 years, the agency may be required to repay all reimbursed federal funds.

Federal Rescissions

FHWA regularly rescinds unused federal funds, either annually as part of the annual federal appropriations or at the end or beginning of a federal transportation act or extension. Therefore, local public agencies must obligate the funds assigned to them within the deadlines established in this policy. Should regional discretionary funds be subject to a federal rescission,

the rescinded funding will first apply to projects with funds that have missed the regional obligation deadline and to projects with funds that have been de-obligated but not yet re-obligated, unless otherwise directed by the Commission.

Annual Obligation Plan

California Streets and Highway Code Section 182.6(f) requires the regions to notify Caltrans of the expected use of OA each year. Any local OA, and corresponding apportionment that is not used by the end of the fiscal year will be redistributed by Caltrans to other projects in a manner that ensures the state continues to receive increased obligation authority during the annual OA redistribution from other states. There is no provision in state statute that the local apportionment and OA used by the state will be returned.

MTC will prepare an annual Obligation Plan prior to each federal fiscal year based on the funding programmed in the TIP, and the apportionment and OA expected to be available in the upcoming federal fiscal year. This plan will be the basis upon which priority for OA and obligations will be made for the upcoming federal fiscal year. It is expected that the CMAs and project sponsors with funds programmed in the TIP will assist in the development of the plan by ensuring the TIP is kept up to date, and review the plan prior to submittal to Caltrans. Projects listed in the plan that do not receive an obligation by the deadline are subject to re-programming. Projects to be advanced from future years, or converted from ACA must be included in the plan to receive priority for obligations against available OA.

The project sponsor shall be considered committed to delivering the project (obligating/ authorizing the funds in an E-76 or transferring to FTA) by the required funding deadline at the beginning of the federal fiscal year (October 1) for funding programmed in that year of the TIP. If a project or project phase will not be ready for obligation in the year programmed, the agency responsible for the project should request to delay the project prior to entering the federal fiscal year.

In the event that OA is severely limited, such as at the end of a federal authorization act, and there is insufficient OA to obligate all of the projects in the annual obligation plan, restrictions may be placed on funds for agencies that continue to have difficulty delivering projects within required deadlines or have current projects that are in violation of funding deadlines and federal-aid requirements.

Local Public Agency (LPA) Single Point of Contact

To further facilitate project delivery and ensure all federal funds in the region are meeting federal and state regulations, requirements and deadlines, every Local Public Agency (LPA) that receives FHWA-administered funds and includes these funds in the federal TIP will need to identify and maintain a staff position that serves as the single point of contact for the implementation of all FHWA-administered funds within that agency. The person in this position must have sufficient knowledge and expertise in the federal-aid delivery process to coordinate

issues and questions that may arise from project inception to project close-out. The local public agency is required to identify, maintain and update the contact information for this position at the time of programming changes in the federal TIP. This person will be expected to work closely with FHWA, Caltrans, MTC and the respective CMA on all issues related to federal funding for all FHWA-funded projects implemented by the recipient.

By applying for and accepting FHWA funds that must be included in the federal TIP, the project sponsor is acknowledging that it has and will maintain the expertise and staff resources necessary to deliver the federal- aid project within the funding timeframe, and meet all federal-aid project requirements.

FHWA-Administered Project Milestones Status

Project sponsors that miss delivery milestones and funding deadlines for FHWA-administered funds are required to prepare and update a delivery status report on major delivery milestones for all active projects with FHWA-administered funds and participate if requested in a consultation meeting with the county CMA, MTC and Caltrans to discuss the local agency's ability to deliver current and future federal-aid transportation projects, and efforts, practices and procedures to be implemented by the local agency to ensure delivery deadlines and requirements are met in the future. The purpose of the status report and consultation is to ensure the local public agency has the resources and technical capacity to deliver FHWA federal-aid projects, is fully aware of the required delivery deadlines, and has developed a delivery timeline that takes into consideration the requirements and lead-time of the federal-aid process within available resources. For purposes of the delivery status report, 'Active' projects are projects programmed in the current federal TIP with FHWA-administered funds (including those in grouped TIP listings), and projects with FHWA-administered funds that remain active (have received an authorization/obligation but have not been withdrawn or closed out by FHWA). The local public agency is to use the status report format provided by MTC, or use a report agreeable by the respective CMA and MTC staff.

Local Public Agency (LPA) Qualification

In an effort to facilitate project delivery and address federal-aid process requirements, Local Public Agencies (LPA) applying for and accepting FHWA administered funds must be qualified in the federal-aid process. By requesting the programming of federal funds in the federal TIP, the LPA is self-certifying they are qualified to deliver federal-funding transportation projects. This regional LPA qualification is to help confirm the jurisdiction has the appropriate knowledge and expertise to deliver the project. The regional LPA self-qualification is not a substitute for any state or federal certification requirements and is simply to acknowledge a minimum requirement by which a local agency can demonstrate to the respective CMA, MTC and Caltrans a basic level of readiness for delivering federal-aid projects. The purpose of the regional LPA qualification is to allow the LPA to program the funds in the federal TIP and has no other standing, implied or otherwise. The regional LPA qualification does not apply to transit operators that transfer all of their FHWA-administered funds to FTA.

To be 'regionally qualified' for regional discretionary funds, and for programming federal funds in the federal TIP, the LPA must comply with the following, in addition to any other state and federal requirements:

- Assign and maintain a single point of contact for all FHWA-administered projects implemented by the agency.
- Maintain a project tracking status of major delivery milestones for all programmed and active FHWA-administered projects implemented by the agency
- Have staff and/or consultant(s) on board who have delivered FHWA-administered projects within the past five years and/or attended the federal-aid process training class held by Caltrans Local Assistance within the past 5 years, and have the knowledge and expertise to deliver federal-aid projects.
- Maintain all active FHWA-administered projects in good standing with respect to regional, state and federal delivery deadlines, and federal-aid requirements
- Maintain the expertise and staff resources necessary to deliver federal-aid projects within the funding timeframe, and meet all federal-aid project requirements
- Has a financial/accounting system in place that meets state and federal invoicing and auditing requirements;
- Has demonstrated a good delivery record and delivery practices with past and current projects.

Maximizing Federal Funds on Local Projects

To facilitate project delivery and make the most efficient use of federal funds, project sponsors are encouraged to concentrate federal funds on fewer, larger projects and maximize the federal share on federalized project so as to reduce the overall number of federal-aid projects. Sponsors may also want to consider using local funds for the Preliminary Engineering (PE) and Right of Way (ROW) phases and target the federal funds on the Construction (CON) phase, thus further reducing the number of authorizations processed by Caltrans and FHWA. Under the regional toll credit policy (MTC Resolution 4008) sponsors that demonstrate they have met or exceeded the total required non-federal project match in the earlier phases, may use toll credits in lieu of a non-federal match for the construction phase. However, sponsors must still comply with NEPA and other federal requirements for the PE and ROW phases. Such an approach can provide the sponsor with greater flexibility in delivering federal projects and avoiding invoicing requirements for the earlier phases. Sponsors pursuing this strategy should ensure that federal funds are programmed to the construction phase in the federal TIP so that Caltrans will prioritize field reviews and NEPA review and approval.

Specific Project-Level Policy Provisions

Projects selected to receive Regional Discretionary Funding must have a demonstrated ability to use the funds within the established regional, state and federal deadlines. This criterion will be used for selecting projects for funding, and for placement of funding in a particular year of

the TIP. Agencies with a continued history of being delivery-challenged and continue to miss funding delivery deadlines will have restrictions placed on future obligations and programming and are required to develop major milestone delivery schedules for each of their federal-aid projects.

It is the responsibility of the implementing agency to ensure the funds can be used within the established regional, state and federal deadlines and that the provisions of the regional funding delivery policy can be met. It is also the responsibility of the implementing agency to continuously monitor the progress of the programmed funds against regional, state and federal deadlines, and to report any potential difficulties in meeting these deadlines to MTC, Caltrans and the appropriate county CMA within a timely manner, to seek solutions to potential problems well in advance of potential delivery failure or loss of funding.

Specific project-level provisions of the Regional Project Funding-Delivery Policy are as follow:

- **Field Reviews**
  Implementing agencies are to request a field review from Caltrans Local Assistance within twelve months of approval of the project in the TIP, but no less than twelve months prior to the obligation deadline of construction funds. This policy also applies to federal-aid projects in the STIP. The requirement does not apply to projects for which a field review would not be applicable, such as FTA transfers, regional operations projects and planning activities, or if a field review is otherwise not required by Caltrans. It is expected that Caltrans will conduct the review within 60 calendar days of the request.

  Failure for an implementing agency to make a good-faith effort in requesting and scheduling a field review from Caltrans Local Assistance within twelve months of programming into the TIP (but no less than twelve months prior to the obligation deadline) could result in the funding being reprogrammed and restrictions on future programming and obligations. Completed field review forms (if required) must be submitted to Caltrans in accordance with Caltrans Local Assistance procedures.

- **Environmental Submittal Deadline**
  Implementing agencies are required to submit a complete Preliminary Environmental Study (PES) form and attachments to Caltrans for all projects, twelve months prior to the obligation deadline for right of way or construction funds. This policy creates a more realistic time frame for projects to progress from the field review through the environmental and design process, to the right of way and construction phase. If the environmental process, as determined at the field review, will take longer than 12 months before obligation, the implementing agency is responsible for delivering the complete environmental submittal in a timely manner. Failure to comply with this provision could result in the funding being reprogrammed. The requirement does not apply to FTA transfers, regional operations projects or planning activities.

- **Obligation/Request For Authorization (RFA) Submittal Deadline**
  Projects selected to receive Regional Discretionary funding must demonstrate the ability to obligate programmed funds by the established deadlines. This criterion will be used for selecting projects for funding, and for placement in a particular year of the TIP. It is the responsibility of the implementing agency to ensure the funding deadlines can be met.

  In order to ensure funds are obligated or transferred to FTA in a timely manner, the implementing agency is required to deliver a complete, funding obligation / FTA Transfer Request for Authorization (RFA) package to Caltrans Local Assistance by November 1 of the fiscal year the funds are listed in the TIP. The RFA package is to include the CTC allocation request documentation for CTC administered funds such as STIP and state-TAP funded projects as applicable. Projects with complete packages delivered by November 1 of the TIP program year will have priority for available OA, after ACA conversions that are included in the Obligation Plan. If the project is delivered after November 1 of the TIP program year, the funds will not be the highest priority for obligation in the event of OA limitations, and will compete for limited OA with projects advanced from future years. Funding for which an obligation/ FTA transfer request is submitted after the November 1 deadline will lose its priority for OA, and be viewed as subject to reprogramming.

Important Tip: Once a federal fiscal year (October 1 through September 30) has begun, and the Obligation Plan for that year developed, the agency is committed to obligating/authorizing the funds by the required obligation deadline for that fiscal year. Funds that do not meet the obligation deadline are subject to re-programming by MTC.

Within the CMA administered programs, the CMAs may adjust delivery, consistent with the program eligibility requirements, up until the start of federal fiscal year in which the funds are programmed in the TIP, swapping funds to ready-to-go projects in order to utilize all of the programming capacity. The substituted project(s) must still obligate the funds within the original funding deadline.

For funds programmed through regional programs, the Commission has discretion to redirect funds from delayed or failed projects.

MTC Regional Discretionary Funding is subject to a regional obligation/ authorization/ FTA transfer deadline of January 31 of the fiscal year the funds are programmed in the TIP. Implementing agencies are required to submit the completed request for obligation/ authorization or FTA transfer to Caltrans Local Assistance by November 1 of the fiscal year the funds are programmed in the TIP, and receive an obligation/authorization/ FTA transfer of the funds by January 31 of the fiscal year programmed in the TIP. For example, projects programmed in FY 2014-15 of the TIP have a request for authorization/ obligation/ FTA transfer submittal deadline (to Caltrans Local Assistance) of November 1, 2014 and an

obligation/ authorization/FTA transfer deadline of January 31, 2015. No extensions will be granted to the obligation deadline.

In Summary:

- Request For Authorization (RFA) Submittal Deadline: November 1 of the fiscal year the funds are programmed in the federal TIP. The Implementing Agency is required to submit a complete Request for Authorization (RFA)/ obligation/transfer package to Caltrans (3 months prior to the Obligation Deadline). For projects with federal funds administered by the CTC, such as STIP and State-TAP, the required CTC allocation request documentation must also be submitted by November 1 in order to meet the January 31 obligation deadline of federal funds.

- Obligation /Authorization Deadline: January 31 of the fiscal year the funds are programmed in the TIP, including funds administered by the CTC, such as STIP and state-TAP. No extensions will be granted to the obligation deadline for regional discretionary funds.

Important Tip*:* If an agency must coordinate delivery with other delivery timelines and other fund sources, it should program the regional discretionary funding in a later year of the TIP and advance the funds after May 1 using the Expedited Project Selection Process (EPSP) once additional OA is made available by Caltrans. Projects with federal funds administered by the CTC, such as STIP and state-TAP, should receive a CTC allocation in sufficient time to receive the federal obligation by the obligation deadline.

November 1 - Regional Request for Authorization (RFA) submittal deadline. Complete and accurate Request for Authorization package submittals, and ACA conversion requests for projects in the annual obligation plan received by November 1 of the fiscal year the funds are programmed in the TIP receive priority for obligations against available OA. The RFA should include CTC allocation request documentation for federal STIP and state-TAP funded projects as applicable.

November 1 – January 31 – Projects programmed in the current year of the TIP and submitted during this timeframe are subject to re-programming. If OA is still available, these projects may receive OA if obligated by January 31. If OA is limited, these projects will compete for OA with projects advanced from future years on a first-come first-served basis. Projects with funds to be advanced from future years should request the advance prior to January 31, in order to secure the funds within that federal fiscal year. This rule does not apply to federal funds administered by the CTC such as STIP or state-TAP funds.

January 31 - Regional Obligation/Authorization deadline. Regional Discretionary Funding not obligated (or transferred to FTA) by January 31 of the fiscal year the funds are programmed in the TIP are subject to reprogramming by MTC. No extensions of this deadline will be granted. Projects seeking advanced obligations against funds from future years should request the advance prior to January 31 in order to secure the funds within that federal fiscal year, though a project may be advanced from a later year any time after January 31. For funding administered by the CTC, the CTC allocation should occur in sufficient time to meet the January 31 federal obligation deadline.

The obligation deadline may not be extended. The funds must be obligated by the established deadline or they are subject to de-programming from the project and redirected by the Commission to a project that can use the funds in a timely manner.

Note: Advance Construction Authorization does not satisfy the regional obligation deadline requirement.

Important Tip: In some years, OA for the region may be severely limited, such as when the state has run out of OA, or Congress has only provided a partial year's appropriation or during short-term extensions of a federal Authorization Act. When OA is limited, ACA conversions identified in the annual obligation plan and submitted before the RFA deadline of November 1 have priority, followed by other projects in the annual obligation plan submitted before the RFA Submittal deadline of November 1. Projects in the obligation plan but submitted after November 1 may have OA (and thus the obligation of funds) restricted and may have to wait until OA becomes available – either after May 1, when unused OA is released from other regions, or in the following federal fiscal year when Congress approves additional OA. RFAs submitted after the November 1 deadline have no priority for OA for that year. Agencies with projects not in good standing with regards to the deadlines of this policy or not complying with federal-aid requirements are subject to restrictions in future Regional Discretionary Funding and the programming of funds in the federal TIP.

- **Coordination with CTC allocations**
  The CTC has its own delivery deadlines that must be met in addition to the regional deadlines. Regional deadlines are in advance of both state and federal deadlines to ensure all deadlines can be met and funds are not jeopardized. To further ensure that CTC deadlines are met, allocation requests to the CTC for federal funds must be accompanied with a complete and accurate E-76 Request for Authorization (RFA) package, so that the authorization/ obligation may be processed immediately following CTC action. MTC will not sign off on allocation concurrences for federal funds unless the E-76 RFA package is also submitted.

Important Tip: There may be occasions when the schedule for a project funded by the CTC is not in sync with the standard summer construction season or with the January 31 regional obligation deadline. Considering that CTC-administered construction funds must be awarded within 6 months of the CTC allocation, the project sponsor may want to delay the CTC construction allocation until later in the season in order to comply with the CTC award deadline. This is allowed on a case-by-case basis for construction funds when the project sponsor has demonstrated a special project delivery time-schedule, and programming the funds in the following state fiscal year was not an option. Regardless of the regional obligation deadline, the end-of-state-fiscal-year CTC allocation deadline still applies, and CTC-administered funds must still receive a CTC allocation by June 30 of the year the funds are programmed in the STIP. This means the construction CTC allocation request/ RFA must be submitted to Caltrans local assistance no later than March 31 of the year the funds are programmed in the STIP/TIP in order to meet the June CTC allocation deadline.

- **Program Supplement Agreement (PSA) Deadline**
  The implementing agency must execute and return the Program Supplement Agreement (PSA) to Caltrans in accordance with Caltrans Local Assistance procedures. It is expected that Caltrans will initiate the PSA within 30 days of obligation. The agency should contact Caltrans if the PSA is not received from Caltrans within 30 days of the obligation. This requirement does not apply to FTA transfers.

  Agencies that do not execute and return the PSA to Caltrans within the required Caltrans deadline will be unable to obtain future approvals for any projects, including obligation and payments, until all PSAs for that agency, regardless of fund source, meet the PSA execution requirement. Funds for projects that do not have an executed PSA within the required Caltrans deadline are subject to de-obligation by Caltrans.

- **Construction Advertisement / Award Deadline**
  For the Construction (CON) phase, the construction/equipment purchase contract must be advertised within 3 months and awarded within 6 months of obligation / E-76 Authorization (or awarded within 6 months of allocation by the CTC for funds administered by the CTC). However, regardless of the award deadline, agencies must still meet the invoicing deadline for construction funds. Failure to advertise and award a contract in a timely manner could result in missing the subsequent invoicing and reimbursement deadline, resulting in the loss of funding.

  Agencies must submit the complete award package immediately after contract award and prior to submitting the first invoice to Caltrans in accordance with Caltrans Local Assistance procedures. Agencies with projects that do not meet these award deadlines will have future

programming and OA restricted until their projects are brought into compliance (CTC-administered construction funds lapse if not awarded within 6 months).

For FTA projects, funds must be approved/awarded in an FTA Grant within one federal fiscal year following the federal fiscal year in which the funds were transferred to FTA.

Important Tip*:* Agencies may want to use the flexibility provided through Advance Construction Authorization (ACA) if it will be difficult meeting the deadlines. Agencies may consider proceeding with ACA and converting to a full obligation at time of award when project costs and schedules are more defined or when the agency is ready to invoice.

- **Regional Invoicing and Reimbursement Deadlines – Inactive Projects**
  Caltrans requires administering agencies to submit invoices at least once every 6 months from the time of obligation (E-76 authorization). Projects that have not received a reimbursement of federal funds in the previous 12 months are considered inactive with the remaining un-reimbursed funds subject to de-obligation by FHWA with no guarantee the funds are available to the project sponsor.

  To ensure funds are not lost in the region, regional deadlines have been established in advance of federal deadlines. Project Sponsors must submit a valid invoice to Caltrans Local Assistance at least once every 6 months and receive a reimbursement at least once every 9 months, but should not submit an invoice more than quarterly.

  Agencies with projects that have not been invoiced against at least once in the previous 6 months or have not received a reimbursement within the previous 9 months have missed the invoicing/reimbursement deadlines and are subject to restrictions placed on future regional discretionary funds and the programming of additional federal funds in the federal TIP until the project receives a reimbursement.

Important Tip: In accordance with Caltrans procedures, federal funds must be invoiced against at least once every six months. Funds that are not reimbursed against at least once every 12 months are subject to de-obligation by FHWA. There is no guarantee the funds will be available to the project once de-obligated. Agencies that prefer to submit one final billing rather than semi-annual progress billings, or anticipate a longer project-award process or anticipate having difficulty in meeting these deadlines can use Advance Construction Authority (ACA) to proceed with the project, then convert to a full obligation prior to project completion. ACA conversions receive priority in the annual obligation plan. Furthermore, agencies that obligate construction engineering (CE) funds may (with concurrence from Caltrans) invoice against this phase for project advertisement activities to comply with invoicing deadlines.

- **State Liquidation Deadline**
  California Government Codes 16304.1 and 16304.3 places additional restrictions on the liquidation of federal funds. Generally, federal funds must be liquidated (fully expended, invoiced and reimbursed) within 4 state fiscal years following the fiscal year in which the funds were appropriated. CTC-administered funds must be expended within 2 state fiscal years following the fiscal year in which the funds were allocated. Funds that miss the state's liquidation/ reimbursement deadline will lose State Budget Authority and will be de-obligated if not re-appropriated by the State Legislature, or extended in a Cooperative Work Agreement (CWA) with the California Department of Finance. CTC-administered funds must also be extended by the CTC. This requirement does not apply to FTA transfers.

- **Project Completion /Close-Out Deadline**
  Implementing Agencies must fully expend federal funds on a phase one year prior to the estimated completion date provided to Caltrans.

  At the time of obligation (E-76 authorization) the implementing agency must provide Caltrans with an estimated completion date for that project phase. Any unreimbursed federal funding remaining on the phase after the estimated completion date has passed, is subject to project funding adjustments by FHWA.

  Implementing agencies must submit to Caltrans the Final Report of Expenditures within six months of project completion. Projects must proceed to right of way acquisition or construction within 10 years of federal authorization of the initial phase.

  Federal regulations require that federally funded projects proceed to construction or right of way acquisition within 10 years of initial federal authorization of any phase of the project. Furthermore, if a project is canceled, or fails to proceed to construction or right of way acquisition in 10 years, FHWA will de-obligate any remaining funds, and the agency may be required to repay any reimbursed funds. If a project is canceled as a result of the environmental process, the agency may not be required to repay reimbursed costs for the environmental activities. However, if a project is canceled after the environmental process is complete, or a project does not proceed to right of way acquisition or construction within 10 years, the agency is required to repay all reimbursed federal funds.

  Agencies with projects that have not been closed out within 6 months of final invoice will have future programming and OA restricted until the project is closed out or brought back to good standing by providing written explanation to Caltrans Local Assistance, the applicable CMA and MTC.

  Note that funds managed and allocated by the CTC may have different and more stringent funding deadlines. A CTC allocated-project must fully expend those funds within 36 months of the CTC funding allocation.

Consequences of Missed Deadlines

It is the responsibility of the implementing agency to ensure the funds can be used within the established regional, state and federal deadlines and that the provisions of the regional project-funding delivery policy, and all other state and federal requirements can be met. It is also the responsibility of the implementing agency to continuously monitor the progress of all their FHWA federal-aid projects against these regional, state and federal funding deadlines and milestones and report any potential difficulties in meeting these deadlines to MTC, Caltrans and the appropriate county CMA within a timely manner. MTC, Caltrans and the CMAs are available to assist the implementing agencies in meeting the funding deadlines, and will work with the agency to find solutions that avoid the loss of funds.

Agencies that do not meet these funding deadlines risk the loss of federal funds. To minimize such losses to the region, and encourage timely project delivery, agencies that continue to be delivery-challenged and/or have current projects that have missed the funding deadlines, or are out of compliance with federal-aid requirements and deadlines will have future obligations, programming or requests for advancement of funds restricted until their projects are brought back into good standing. Projects are selected to receive Regional Discretionary Funding based on the implementing agency's demonstrated ability to deliver the projects within the funding deadlines. An agency's proven delivery record will be used for selecting projects for funding and placement in a particular year of the TIP, and for receipt of OA.

Regional Project Delivery Principles

The following requirements apply to the management and implementation of FHWA-administered funds within the region:

- **Federal funds must comply with federal fiscal constraint requirements.** FHWA-administered federal funds are to be programmed in the federal Transportation Improvement Program (TIP), up to the apportionment level for that fiscal year, in the fiscal year in which the funds are to be obligated by FHWA or transferred to the Federal Transit Administration (FTA) or allocated by the CTC.
- **Regional discretionary funds are project specific.** Projects are chosen for the program based on eligibility, project merit, and deliverability within the established deadlines. The regional discretionary funds are for those projects alone and may be used for any phase of the project, unless otherwise specified at the time of programming, in accordance with Caltrans procedures and federal regulations.
- **Funds must be included in the annual obligation plan.** MTC staff, in consultation with regional partners, will prepare an annual obligation plan as required by California Streets and Highway Code 182.6(f) at the end of each state fiscal year based on the funding programmed in the federal TIP and the apportionment and OA expected to be available. This plan will be the basis upon which obligations will be made in the following federal fiscal year.
- **Advance Construction Conversion has priority for funding.** Conversion of Advance Construction Authorization (AC) to full authorization receives priority in the annual obligation plan. At the end of the federal authorization Act, AC may be the only option available should the region fully use its Obligation Authority.
- **Federal funds must meet timely use of funds requirements.** To comply with federal timely use of funds requirements, the Request for Authorization (RFA) and obligation (E-76 authorization/ FTA Transfer) deadlines are November 1 and January 31, respectively. These deadlines align with the natural schedule to have projects ready for the following summer construction season.
- **Projects may be advanced from future years.** Obligations for funds advanced from future years of the TIP will be permitted only upon the availability of surplus OA and generally will only be considered after the obligation submittal deadline of November 1. OA is available first-come first-served after January 31. In some years OA may not be available for project advancements until after April 30, when Caltrans releases unused OA statewide.
- **CTC allocation and FHWA authorization requests should be coordinated.** To ensure deadlines imposed by the CTC are met, allocation requests to the CTC for federal funds should be accompanied with a complete RFA package, so the authorization request for federal funds may be submitted to FHWA immediately following CTC action.
- **Funds for construction should be awarded within 6 months of obligation.** This deadline is for consistency with the CTC's 6-month award deadline following CTC allocation, and to ensure there are eligible expenditures to invoice against to meet Caltrans' 6-month invoicing requirement and FHWA's inactive obligations requirements.
- **Funds must be invoiced against at least once every 6 months.** Project sponsors must submit a valid invoice to Caltrans Local Assistance at least once every 6 months and receive a reimbursement at least once every 9 months, but should not submit an invoice more than quarterly. This ensures the sponsor complies with Caltrans requirements and the project does not become inactive under FHWA's rules.

Milestone	Deadline	Authority	Consequence of Missed Deadline
Programming in TIP	Agency is committed to delivering project in the year programmed in the TIP	Region	Deprogramming of funds and redirection to other projects that can use the OA (MTC)
Field Review (If applicable)	Within 12 months of inclusion in TIP	Region	Restrictions on future programming, obligations and OA until deadline is met (MTC)
MTC Obligation Plan CA S&H Code § 182.6(f)	October 1 - Beginning of each federal fiscal year	Caltrans Region	Only projects identified in MTC's annual Obligation Plan receive priority for OA. Projects not in annual plan may need to wait until after May 1 to receive an obligation (MTC)
Request For Authorization (RFA) Submittal	November 1 of year funds programmed in TIP	Region	Project loses priority for OA. OA may be redirected to other projects (MTC)
Obligation / FTA Transfer E-76 / Authorization	January 31 of year programmed in TIP	Region	Reprogramming of funds and redirection to other projects that can use the OA (MTC)
Release of Unused OA	May 1	Caltrans	Unused OA becomes available for all regions to access on first-come first–served basis (Caltrans)
CTC-Allocation CA Gov Code § 14529.8	June 30 of the year CTC funds are programmed	CTC	CTC-programmed funds lapse (CTC) Requires CTC approval for extension
Last opportunity to submit Request For Authorization (RFA) for federal fiscal year	June 30	Caltrans	Requests submitted after June 30 may need to wait until following federal fiscal year to receive E-76 / Authorization (Caltrans)
End of Federal Fiscal Year - OA No Longer Available	August 30	Caltrans Federal	Federal system shut down. Unused OA at end of federal fiscal year is taken for other projects. No provision funds taken will be returned (FHWA)
Program Supplement Agreement (PSA)	60 days after receipt from Caltrans 6 months after obligation	Caltrans Region	De-obligation of funds after 6 months (so project does not become inactive) (Caltrans) Restrictions on future programming, obligations and OA until deadline is met (MTC)
Construction Advertisement	3 months after obligation	Region	Potential to miss award deadline. Restrictions on future programming, obligations and OA until deadline is met (MTC)
Construction Award	6 months after Allocation/ Obligation	CTC Region	CTC-allocated funds lapse. Requires CTC extension approval (CTC) Potential for project to become Inactive. Restrictions on future programming, obligations and OA until deadline is met (MTC)
Invoicing & Reimbursement	Submit invoice and receive reimbursement at least once every 6 months following obligation of funds.	Federal Caltrans Region	Placed on pending inactive list after 6 months. Must submit invoice status reports (Caltrans) De-obligation of funds if project does not receive reimbursement within 12 months, with no guarantee funds will be returned (FHWA) Restrictions on future funding (MTC)
Expenditure CA Gov Code § 14529.8	2 years following the year of CTC allocation of funds	CTC	CTC-allocated funds lapse (CTC) Requires CTC approval for extension
Liquidation CA Gov Code § 16304.1	2 years following the year of allocation (state funds) 4 years following the year of allocation (Federal funds)	State of California Caltrans	Loss of State budget authority and de-obligation of funds (State of California). Requires CWA with Caltrans for extension (Caltrans)
Project Close-Out	6 months after final invoice	Caltrans Region	Must submit explanation in writing (Caltrans) Restrictions on future funding (MTC)