



# AGENDA

<b>SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY</b> <b>Meeting Notice</b>
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**Date:** Tuesday, February 28, 2017; 11:00 a.m.

**Location:** Legislative Chamber, Room 250, City Hall

**Commissioners:** Peskin (Chair), Tang (Vice Chair), Breed, Cohen, Farrell, Fewer, Kim, Ronen, Safai, Sheehy and Yee

**Clerk: Steve Stamos**

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1. Roll Call	
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4. Approve the Minutes of the January 24, 2017 Meeting – <b>ACTION*</b>	5
<b>Items from the Finance Committee</b>	
5. Adopt Positions on State Legislation – <b>ACTION*</b>	11
6. Approve an Eligible List for On-Call Project Management Oversight and General Engineering Services, Authorize the Executive Director to Execute Contracts to Shortlisted Consultants for a Three-Year Period with an Option to Extend for Two Additional One-Year Periods in a Combined Total Amount Not to Exceed \$6,000,000, and Authorize the Executive Director to Negotiate Payment Terms and Non-Material Contract Terms and Conditions – <b>ACTION*</b>	21
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**Items for Direct Board Consideration**

11. Approve the Revised Administrative Code – **ACTION\*** 139

Per Chair Peskin's direction, staff has proposed changes to the Administrative Code to eliminate the Finance Committee and Plans and Programs Committee in order for the Board to meet bi-monthly, on the 2<sup>nd</sup> and 4<sup>th</sup> Tuesday of the month. This would entail a first/second appearance requirement where matters to be acted on by the Board would be placed on the agenda at two Board meetings in order to be considered for final approval on the second appearance. Additionally, staff and legal counsel reviewed the Administrative Code and provided revisions to ensure compliance with current statutes and the Transportation Authority's objectives, as well as to reduce duplication with the Rules of Order, the subject of the next agenda item. All revisions are shown in the attached draft Administrative Code in red, with substantial changes highlighted in gray. If approved, there would be minor corresponding changes to other agency policies which would be brought to the Board for approval in June as part of the annual update.

12. Approve the Revised Rules of Order – **ACTION\*** 153

Per Chair Peskin's direction, staff has proposed changes to the Rules of Order to eliminate the Finance Committee and Plans and Programs Committee in order for the Board to meet bi-monthly, on the 2<sup>nd</sup> and 4<sup>th</sup> Tuesday of the month. This would entail a first/second appearance requirement where matters to be acted on by the Board would be placed on the agenda at two Board meetings in order to be considered for final approval on the second appearance. Additionally, staff and legal counsel reviewed the Rules of Order and provided revisions to ensure compliance with current statutes and the Transportation Authority's objectives, as well as to reduce duplication with the Administrative Code, the subject of the previous agenda item. All revisions are shown in the attached draft Rules of Order in red, with substantial changes highlighted in gray.

### Other Items

13. Introduction of New Items – **INFORMATION**

During this segment of the meeting, Board members may make comments on items not specifically listed above, or introduce or request items for future consideration.

14. Public Comment

15. Adjournment

\* Additional materials

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## Board Meeting Agenda

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# DRAFT MINUTES

## SAN FRANCISCO COUNTY TRANSPORTATION AUTHORITY

Tuesday, January 24, 2017

### 1. Roll Call

Chair Peskin called the meeting to order at 11:07 a.m.

**Present at Roll Call:** Commissioners Breed, Cohen, Farrell, Fewer, Kim, Peskin, Ronen, Safai, Sheehy, Tang and Yee (11)

### 2. Chair's Report – INFORMATION

Chair Peskin reported that the Transportation Authority was the steering mechanism for San Francisco's sustainable and balanced growth strategies, and with the Board's input and guidance, the city was poised to make smart investments to bolster a bold planning vision for the city and region. He said that in 2016, the Board worked in partnership with the Metropolitan Transportation Commission (MTC) and the Association of Bay Area Governments to update Plan Bay Area, the region's smart growth blueprint. He noted that Plan Bay Area forecast 137,000 new households and nearly 300,000 new jobs for San Francisco between 2010 and 2040 – all of which the city could accommodate with a strategic and responsible balance of affordable housing and neighborhood-serving transportation infrastructure.

He said guided by its climate and equity goals, the Transportation Authority was focused on maintaining and upgrading the city's existing transportation infrastructure, including the pending arrival of 151 light-rail vehicles and 42 additional vehicles to expand the light-rail fleet. He said that the Transportation Authority had also prepared strategies to bolster the city's core systems, in particular safety improvements to transit, pedestrian projects and cycling facilities. He said as the agency continued to lead in the creation of complete communities through transit-oriented development, he wanted to thank the San Francisco Municipal Transportation Agency (SFMTA) and Planning Department for partnering to examine transit-oriented development at underutilized bus yards citywide. He said the Board had led the region in advocating for data-driven Vision Zero safety investments citywide, particularly in communities and neighborhoods where the most vulnerable residents were competing with heavy congestion and fast-moving arterials.

Chair Peskin said that over the coming year the Board would help shape Regional Measure 3, which was MTC's planned bridge toll increase measure for 2018, and would look at reasonable ways to ensure that the public realm was being utilized safely and responsibly. He said there was tremendous progress but there was still much to do, and that he wanted to be candid with respect to where city was at, acknowledging its strengths and victories while keeping focus on the work ahead. He said there were numerous challenges, including that Muni trip times are still unreliable, the city's roads continued to need repaving while in a constant state of construction repair and being consistently underfunded, and that Vision Zero goals were still not being fully realized.

He said that to address all of these issues the city was going to need local revenue, and that he had tasked Transportation Authority staff to work with his office and staff from the SFMTA and San Francisco Public Works to identify local sources of funding to ensure the city achieves the goals outlined in the annual report. He said that the city needed to generate long-term sustainable revenue, whether that comes in the form of a local income tax, a Vehicle License Fee, or a combination of several sources, the Board and the City and County of San Francisco would need to take bold steps to ensure the city's collective success in the year's ahead. He thanked the Commissioners for their work on the Board, as well as in their respective districts.

There was no public comment.

**Chair Peskin called Items 3 and 9 together.**

**3. Executive Director's Report – INFORMATION**

Tilly Chang, Executive Director, said she would forego the Executive Director's Report and instead be presenting the Annual Report.

**4. Approve the Minutes of the January 5, 2017 Meeting – ACTION**

There was no public comment.

The minutes were approved without objection by the following vote:

Ayes: Commissioners Breed, Cohen, Farrell, Fewer, Kim, Peskin, Ronen, Safai, Sheehy, Tang and Yee (11)

**5. Election of Chair and Vice Chair for 2017 – ACTION**

Commissioner Yee moved to nominate Commissioner Peskin for Chair of the Transportation Authority, seconded by Commissioner Kim.

There was no public comment.

Commissioner Peskin was elected Chair by the following vote:

Ayes: Commissioners Breed, Cohen, Farrell, Fewer, Kim, Peskin, Ronen, Safai, Sheehy, Tang and Yee (11)

Commissioner Kim moved to nominate Commissioner Tang for Vice Chair of the Transportation Authority, seconded by Commissioner Breed.

There was no public comment.

Commissioner Tang was elected Vice Chair by the following vote:

Ayes: Commissioners Breed, Cohen, Farrell, Fewer, Kim, Peskin, Ronen, Safai, Sheehy, Tang and Yee (11)

Chair Peskin stated that the Transportation Authority was an important agency, and that members of the Board and the public were not as engaged in the agency's work as they should be. He said as the city was currently considering multiple multi-billion-dollar transportation projects, including Caltrain Electrification, the Central Subway, the Downtown Rail Extension, and an ambitious subway plan, it first needed to have its priorities in order, especially given the changes at the federal level. He suggested having a third party, independent oversight for the Board to use as a resource, similar to the role the Budget and Legislative Analyst's Office plays for the Board of Supervisors. He said that given that the Transportation Authority also was a larger contributor of funding to the SFMTA, he would like the Board to ensure that the SFMTA was meeting the needs of each

of the districts, as well as citywide. He said that since the Board also monitored and acted on state legislation, he would like to have more regular and robust conversations around that. Lastly, he said the Board should consider meeting twice a month and taking on the work normally done at the Finance and Plans and Programs Committee meetings.

Commissioner Breed commented that she was excited about the opportunity to have an independent oversight body that could assist the Board in sorting through the different layers of funding to the numerous transportation projects. She noted that the Transportation Authority also did strategic planning, and said the Board should also take the opportunity to have a more robust discussion about strategic planning and the bigger picture of simultaneously advancing various projects across the city and how they intersect. She said San Francisco wanted to be a transit-first city but it needed to have the infrastructure in place to accommodate that.

Commissioner Tang commented that the Board's work was incredibly important has a lot of funding flowed through the Transportation Authority, and would like to utilize the Board to work better with partner agencies, in particular the SFMTA.

### Items from the Plans and Programs Committee

#### 6. **Allocate \$6,774,400 in Prop K Funds, with Conditions, for the Downtown Rail Extension, Subject to the Attached Fiscal Year Cash Flow Distribution Schedule – ACTION**

Maria Lombardo, Chief Deputy Director, introduced the item and Mark Zabaneh, Executive Director of the Transbay Joint Powers Authority (TJPA), who presented the item.

Chair Peskin commented that when the Transbay Transit Center (TTC) was started over a decade ago it was estimated to cost \$800 million, but that currently it was costing over \$2 billion, which included a Commercial Paper loan from the City and County of San Francisco. He noted that TJPA was created under state law but that it had several city officials who served on its Board. He said that by choosing an alignment to the TTC, the city was making a decision for the next 50-100 years in terms of fixed rail infrastructure into the downtown core, and that it was currently estimated at \$4 billion.

During public comment, Roland Lebrun commented there were several issues with the Downtown Rail Extension (DTX), including legal, cost and funding issues. He said regarding legal issues, Senate Bill 916 mandated the project must have the ability to connect the TTC to the East Bay, and that Prop 1A required there to be a non-stop train from the Diridon Station in San Jose to the TTC in 30 minutes. He said if that was not achieved, the project would lose \$557 million in Prop 1A bonds that was allocated for DTX, in addition to \$600 million for Caltrain Electrification. He said the costs for the project also needed to be revisited, and questioned how the Central Subway was only costing \$1.7 billion while DTX was estimated to cost \$4 billion. He recommended that the Board only allocate the approximately \$1 million need to complete the environmental report.

Chair Peskin noted that the Board had received a letter from Mr. Lebrun and asked if the three turns included in the DTX alignment would end up slowing down the trains enough that the 30-minute trip from San Jose to San Francisco would not be achievable. Mr. Lebrun confirmed that was his contention and said there was an alternative alignment that would be able to achieve that.

Jim Haas commented that the existing DTX plan was outmoded and would wall off the west side of Mission Bay and jeopardize the University of California, San Francisco campus. He said the city, the Board, and the Board of Supervisors needed to take more control of the project and

coordinate with each other. He said the Planning Department was conducting the Railyard, Alternatives and I-280 Boulevard Feasibility (RAB) Study which would be producing a report in March that would confirm the inadequacies of the current plan and put forth a viable way to move forward. He said the Board should not approve the allocation as requested and instead should fund work around the TTC and 2<sup>nd</sup> Street tunnel, and ensure there was sufficient funds for the third phase of the RAB study which would be to develop the plan for the final tunnel to bring the trains downtown. He added that when the new tunnel would be connected with the existing tunnel the project cost would be closer to \$6 billion.

Commissioner Sheehy said that from the public comment it sounded like the Board needed to be more involved before providing funding. He said the current DTX alignment did not appear to enable the trains to travel at the necessary speeds and also noted that with the new basketball arena in Mission Bay there would need to be an increase in transit capacity. He said that completing the RAB study and looking at alternative alignments seemed like a good next step for the project.

Chair Peskin stated that part of the reason the allocation request was previously delayed because the Board was interested in seeing the preliminary results from the RAB study and that part of the reason it was currently on the agenda because there were four new members of the Board but that they should be given the opportunity to have more information before making a decision.

Commissioner Ronen asked what the project impacts of continuing the item by a month or two would be. Mr. Zabaneh responded that discussions regarding the allocation request started in June 2016 and that it was brought to the Board in September 2016. He noted that there were a lot of questions raised but that TJPA had responded to all of them, and that since the TTC was nearly complete the TJPA would be shifting focus to the DTX. He said the allocation request was to bring the design to 30% completion, but that they would be waiting for the RAB study to finish and would not be precluding that work. He said the request would fund work on three elements that were common to all of the alignments including work on 2<sup>nd</sup> Street, the train box and the pedestrian connector.

Chair Peskin said that if the item were continued to another Board meeting he would request Planning Department staff to present on the RAB study at the same time.

Commissioner Fewer commented that she would like to continue the item because she had questions regarding the design and would like additional information before making a decision.

Commissioner Kim commented that it was important for the four new Commissioners to understand the issues and noted that it was a complicated project because it involved multiple agencies. She said the concept for the TTC was that it would be a major transportation hub and ideally would connect with high-speed rail but that were a lot of diverging viewpoints over what the alignment should be. She said the current alignment was approved several years prior but that it was now being revisited, which was an important decision but that the requested funds needed to be approved at some point for that to happen.

Commissioner Safai commented that he would like a better understanding of how the funds would be allocated and how the work being funded would affect project decisions moving forward.

Commissioner Tang noted that Planning Department staff had reached out to all of the Commissioners' offices to offer a walking tour along the RAB project location.

Commissioner Sheehy moved to continue the item, seconded by Commissioner Ronen. The item was continued to the call of the Chair.



**7. Allocate \$653,101 in Prop K Funds, with Conditions, to the Bay Area Rapid Transit District for the Balboa Park Station Eastside Connections – Additional Scope Project, Subject to the Attached Fiscal Year Cash Flow Distribution Schedule – ACTION**

There was no public comment.

The item was approved without objection by the following vote:

Ayes: Commissioners Breed, Cohen, Farrell, Fewer, Kim, Peskin, Ronen, Safai, Sheehy, Tang and Yee (11)

**Items for Direct Board Consideration**

**8. Approve a Resolution in Support of Assembly Bill 87 (Ting) to Curb Illegal Self-Driving Cars – ACTION**

Chair Peskin stated that he introduced this resolution at the January 11 Special Board meeting in support of Assembly Bill 87 to curb, regulate and propose enforcement relative to illegal self-driving cars.

There was no public comment.

The item was approved without objection by the following vote:

Ayes: Commissioners Breed, Cohen, Farrell, Fewer, Kim, Peskin, Ronen, Safai, Sheehy, Tang and Yee (11)

**9. Adopt the 2016 Annual Report – ACTION**

There was no public comment.

The item was approved without objection by the following vote:

Ayes: Commissioners Breed, Cohen, Farrell, Fewer, Kim, Peskin, Ronen, Safai, Sheehy, Tang and Yee (11)

**Other Items**

**10. Introduction of New Items – INFORMATION**

There were no new items introduced.

**11. Public Comment**

During public comment, Roland Lebrun said that the new presidential administration was putting a strong emphasis on private sector involvement, which would have implications for a new transbay tube. He said that if a second tube were built it would take roughly half of the ridership from the first tube, but that there would likely be extensive shut downs of the old tube for necessary maintenance. He said the Board needed to make sure that San Francisco would be able to connect the Transbay Transit Center to the second transbay tube, and also work with Oakland to ensure an appropriate location would be selected, and that the private sector could help determine that. He said regarding the Downtown Rail Extension, the Passenger Facilities Charges included in the budget were not realistic, but that if the Transbay Transit Center was able to connect to the East Bay there would be more passengers which would increase that revenue.

**12. Adjournment**

The meeting was adjourned at 12:21 p.m.



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## RESOLUTION ADOPTING POSITIONS ON STATE LEGISLATION

WHEREAS, The Transportation Authority approves a set of legislative principles to guide transportation policy advocacy in the sessions of the Federal and State Legislature; and

WHEREAS, With the assistance of the Transportation Authority's legislative advocate in Sacramento, staff has reviewed pending legislation for the current Legislative Session and analyzed it for consistency with the Transportation Authority's adopted legislative principles and for impacts on transportation funding and program implementation in San Francisco; and

WHEREAS, On February 14, 2017, the Finance Committee reviewed and discussed the attached state legislation matrix, provided guidance to staff regarding needed clarification language, and recommended positions on various bills; and

WHEREAS, the Finance Committee amended the staff recommendation to sever AB 342 (Chiu) and requested additional information and a presentation prior to taking action; now, therefore, be it

RESOLVED, That the Transportation Authority hereby does adopt new support positions on Assembly Bill (AB) 1 (Frazier), AB 28 (Frazier) and Senate Bill 1 (Beall), and a new oppose position on AB 65 (Patterson); and be it further

RESOLVED, That the Executive Director is directed to communicate these positions to all relevant parties.

## Attachment:

1. New Bills and Recommended Positions

**San Francisco County Transportation Authority  
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**New Recommended Positions**

To view documents associated with the bill, click the bill number link.

The Finance Committee is recommending new support positions on Assembly Bill (AB) 1 (Frazier), AB 28 (Frazier), and Senate Bill (SB) 1 (Beall), and a new oppose position on AB 65 (Patterson). As this is the first state legislative matrix of the session, all watch positions on other bills are also new recommendations. Additional detail on bills with new support/oppose positions are shaded in the attached state legislative matrix. It also provides detail on the other bills we are tracking.

<b>Recommended Positions</b>	<b>Bill # Author</b>	<b>Keywords and Comments</b>
Support	<a href="#">AB 1</a> <a href="#">Frazier</a> D	<b>Transportation funding.</b> This bill would create the Road Maintenance and Rehabilitation Program to address deferred maintenance on the state highway system and local roads. Estimated \$6 billion annually. Similar to SB 1 (Beall).
Support	<a href="#">AB 28</a> <a href="#">Frazier</a> D	<b>Department of Transportation: environmental review process: federal pilot program.</b> This bill would re-enact State authorization for Caltrans to accept delegated federal authority to administer NEPA. Significant project delays are expected if this is not reinstated.
Oppose	<a href="#">AB 65</a> <a href="#">Patterson</a> R	<b>Transportation bond debt service.</b> This bill would shift debt service payments for High-Speed Rail bonds from truck weight fees to the state General Fund, intending to bring the High-Speed Rail project to an end.
Support	<a href="#">SB 1</a> <a href="#">Beall</a> D	<b>Transportation funding.</b> This bill would create the Road Maintenance and Rehabilitation Program to address deferred maintenance on the state highway system and local roads. Estimated \$6 billion annually. Similar to AB 1 (Frazier).

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February 2017**

**Bills of Interest**

**To view documents associated with the bill, click the bill number link. To view the bill text, click the TEXT link.**

The Finance Committee is recommending new support positions on Assembly Bill (AB) 1 (Frazier), AB 28 (Frazier), and Senate Bill (SB) 1 (Beall), and a new oppose position on AB 65 (Patterson).

<b>Bill #</b>	<b>Author</b>	<b>Description</b>	<b>Status</b>	<b>Position</b>	<b>Comments</b>
<a href="#">AB 1</a> Introduced: 12/5/2016 <a href="#">Text</a>	<a href="#">Frazier D</a> (Dist 11)	Transportation funding. Would create the Road Maintenance and Rehabilitation Program to address deferred maintenance on the state highway system and the local street and road system. The bill would require the California Transportation Commission to adopt performance criteria, consistent with a specified asset management plan, to ensure efficient use of certain funds available for the program. The bill would provide for the deposit of various funds for the program in the Road Maintenance and Rehabilitation Account, which the bill would create in the State Transportation Fund.	Assembly Transportation	New - Recommend Support	This bill would create the road Maintenance and Rehabilitation Program to address deferred maintenance on the state highway system and local roads. New gas taxes, diesel taxes, registration fees, and other sources would generate \$6 billion annually.  See related SB 1 (Beall).
<a href="#">AB 13</a> Introduced: 12/5/2016 <a href="#">Text</a>	<a href="#">Eggman D</a> (Dist 13)	580 Marine Highway. Would require the Department of Transportation to implement and oversee the —580 Marine Highway corridor project to reduce traffic by facilitating a permanent shift in container traffic away from truck transport to marine transport between the Port of Oakland and the Port of Stockton. The bill would require that the project be funded by an appropriation in the Budget Act of 2017 of \$85,000,000.	Assembly Transportation	New - Recommend Watch	This bill seeks the development of the 580 Marine Highway corridor to reduce truck traffic between Oakland and Stockton. Funding would be subject to future appropriation.

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<b>Bill #</b>	<b>Author</b>	<b>Description</b>	<b>Status</b>	<b>Position</b>	<b>Comments</b>
<a href="#">AB 17</a> Introduced: 12/5/2016 <a href="#">Text</a>	<a href="#">Holden D</a> (Dist 41)	Transit Pass Program: free or reduced-fare transit passes. Would create the Transit Pass Program to be administered by the Department of Transportation. The bill would require the Controller of the State of California to allocate moneys made available for the program, upon appropriation by the Legislature, to support transit pass programs that provide free or reduced-fare transit passes to specified pupils and students.	Assembly Transportation	New - Recommend Watch	Re-introduction of AB 2222 (2017) to establish a transit pass program for free or reduced transit fare passes to qualified schools for use by pupils. The 2016 bill was sponsored by TransForm and supported by a wide array of transportation groups and advocates. The source for funding in AB 2222 was Cap and Trade auction revenues. The bill was retained in Appropriations due to uncertainty over that funding source.  This is a spot bill that expresses intent to develop legislation to foster safe operating tour buses.
<a href="#">AB 25</a> Introduced: 12/5/2016 <a href="#">Text</a>	<a href="#">Nazarian D</a> (Dist 46)	Tour buses. Current law imposes various requirements on the operation of tour buses, including, among other things, a requirement that a tour bus operator use a safety belt at all times when operating the tour bus. This bill would state the intent of the Legislature to enact legislation relating to the safe operation of tour buses.	Assembly Print	New - Recommend Watch	This is a spot bill that expresses intent to develop legislation to foster safe operating tour buses.
<a href="#">AB 28</a> Introduced: 12/5/2016 <a href="#">Text</a>	<a href="#">Frazier D</a> (Dist 11)	Department of Transportation: environmental review process: federal pilot program. Current federal law requires the United States Secretary of Transportation to carry out a surface transportation project delivery pilot program, under which the participating states assume certain responsibilities for environmental review and clearance of transportation projects that would otherwise be the responsibility of the federal government. Current law, until January 1, 2017, provided that the State of California consents to the jurisdiction of the federal courts with regard to the compliance, discharge, or enforcement of the responsibilities it assumed as a participant in the pilot program. This bill would reinstate the operation of the latter provision.	Assembly Appropriations	New - Recommend Support	Would re-enact State authorization for Caltrans to accept delegated federal authority to administer National Environmental Policy Act (NEPA).  Delegated authority allows for faster environmental clearance. With its expiration, Caltrans is not able to approve environmental documents, threatening the progress of transportation projects statewide. Transportation stakeholders across California have identified this as priority legislation.

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<b>Bill #</b>	<b>Author</b>	<b>Description</b>	<b>Status</b>	<b>Position</b>	<b>Comments</b>
<p><a href="#">AB 65</a> Introduced: 12/13/2016 <a href="#">Text</a></p>	<p><a href="#">Patterson R</a> (Dist 23)</p>	<p>Transportation bond debt service. Current law provides for transfer of certain vehicle weight fee revenues to the Transportation Debt Service Fund to reimburse the General Fund for payment of current year debt service on general obligation bonds issued for transportation purposes, including bonds issued for high-speed rail and associated purposes pursuant to the Safe, Reliable High-Speed Passenger Train Bond Act for the 21st Century (Proposition 1A of 2008). This bill would specifically exclude from payment under these provisions the debt service for Proposition 1A bonds.</p>	<p>Assembly Transportation</p>	<p>New - Recommend Oppose</p>	<p>Another in a series of bills intended to bring the State's High Speed Rail project to an end by shifting the debt service payments from truck weight fees to state General Fund.</p>
<p><a href="#">AB 87</a> Introduced: 1/5/2017 <a href="#">Text</a></p>	<p><a href="#">Ting D</a> (Dist 19)</p>	<p>Autonomous vehicles. This bill would provide that violation of the Autonomous Vehicle statute is not an infraction and would instead, among other things, require the department to revoke the registration of a vehicle that is being operated in violation of those provisions. The bill would also authorize a peace officer to cause the removal and seizure of a vehicle operating on the public streets with a registration that has been revoked pursuant to these provisions and authorize the department to impose a penalty of up to \$25,000 per day for each autonomous vehicle operating in violation of these provisions.</p>	<p>Pending referral to committee</p>	<p>Support</p>	<p>The bill amends the state's Autonomous Vehicle (AV) law to address the instance where an auto manufacturer or vehicle operator fails to comply is subject to revocation of the registration and is subject to a penalty of \$25,000 per day. Assemblymember Ting introduced this bill in the wake of the discovery that Uber was operating AVs in San Francisco without a permit from DMV. In response, the DMV revoked the registrations of Uber's 16 autonomous vehicles to pull the unregulated cars off public streets. The measure is supported by San Francisco Mayor Ed Lee, San Francisco Supervisor Aaron Peskin, and WalkSF, as well as bicycle interests.</p> <p>The Transportation Authority Board passed a resolution of support for this bill at their 1/24/17 Board meeting</p>

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<b>Bill #</b>	<b>Author</b>	<b>Description</b>	<b>Status</b>	<b>Position</b>	<b>Comments</b>
<a href="#">AB 91</a> Introduced: 1/9/2017 <a href="#">Text</a>	<a href="#">Cervantes D</a> (Dist 60)	High-occupancy vehicle lanes. Would prohibit, commencing July 1, 2018, a high-occupancy vehicle lane from being established in the County of Riverside, unless that lane is established as a high-occupancy vehicle lane only during the hours of heavy commuter traffic, as determined by the Department of Transportation. The bill would require any existing high-occupancy vehicle lane in the County of Riverside that is not a toll lane to be modified to operate as a high-occupancy lane under those same conditions.	Assembly Transportation	New - Recommend Watch	The measure applies to HOV lanes operated within Riverside County. It would require that HOV lanes there may only operate as such during the hours of heavy commuter traffic.
<a href="#">AB 174</a> Introduced: 1/17/2017 <a href="#">Text</a>	<a href="#">Bigelow R</a> (Dist 5)	California Transportation Commission: membership. Current law provides that the California Transportation Commission consists of 13 members, 11 voting members, of which 9 are appointed by the Governor subject to Senate confirmation, 1 is appointed by the Senate Committee on Rules, and 1 is appointed by the Speaker of the Assembly, and 2 Members of the Legislature who are appointed as nonvoting ex officio members. This bill would require that at least one voting member reside in a rural county with a population of less than 100,000 individuals.	Assembly Transportation	New - Recommend Watch	Current law and tradition directs the governor to seek geographic balance in appointing members to CTC. This bill would codify a requirement that at least one member be from a rural county.
<a href="#">AB 179</a> Introduced: 1/18/2017 <a href="#">Text</a>	<a href="#">Cervantes D</a> (Dist 60)	California Transportation Commission. Current law provides that the California Transportation Commission consists of 13 members: 11 voting members, of which 9 are appointed by the Governor subject to Senate confirmation, one is appointed by the Senate Committee on Rules, and one is appointed by the Speaker of the Assembly, and 2 Members of the Legislature who are appointed as nonvoting ex officio members. This bill would require that 6 of those voting members have specified qualifications.	Assembly Transportation	New - Recommend Watch	This bill would mandate that 6 of the 11 CTC members have expertise in the following areas: *Sustainable transportation *Public health effects of transportation *Climate change mitigation *Bike and pedestrian safety



**San Francisco County Transportation Authority**  
**February 2017**

<b>Bill #</b>	<b>Author</b>	<b>Description</b>	<b>Status</b>	<b>Position</b>	<b>Comments</b>
<p><a href="#">AB 262</a></p> <p>Introduced: 1/31/2017</p> <p><a href="#">Text</a></p>	<p><a href="#">Bonta D</a> (Dist 18)</p>	<p>Public contracts: lowest responsive bidder: eligible materials.</p> <p>The State Contract Act governs the bidding and award of public works contracts by specific state departments.</p> <p>This bill would require an awarding department to require a prospective bidder to complete a standard form that states the cumulative amount of specified greenhouse gas emissions that were produced in the manufacturing of eligible materials, as defined, to be used on the project, and would provide that a prospective bidder may satisfy this standard by attaching to that form an Environmental Product Declaration, developed in accordance with standards established by the International Organization of Standardization, for that type of product.</p>	<p>Assembly Print</p>	<p>New - Recommend Watch</p>	<p>This bill seeks to have prospective contract bidders qualify greenhouse emissions in basic construction materials.</p>
<p><a href="#">AB 342</a></p> <p>Introduced: 2/7/2017</p> <p><a href="#">Text</a></p>	<p><a href="#">Chiu D</a> (Dist 17)</p>	<p>Vehicles: automated speed enforcement (ASE): five-year pilot program.</p> <p>This bill would authorize, no later than January 1, 2019, the City of San Jose (San Jose) and the City and County of San Francisco (San Francisco) to implement a 5-year pilot program utilizing an automated speed enforcement system (ASE system) for speed limit enforcement on certain streets, if the system meets specified requirements, including that the presence of a fixed or mobile ASE system is clearly identified by signs, as specified, and trained peace officers or other trained designated municipal employees are utilized to oversee the operation of the fixed and mobile ASE systems. The bill would require San Jose and San Francisco to adopt an ASE System Use Policy, as specified, and develop uniform guidelines for, among other things, the processing and storage of confidential information. The bill would provide that a speed violation that is recorded by an ASE system is subject to a civil penalty in an amount not to exceed \$100.</p>	<p>Assembly Print</p>	<p>New – Watch</p> <p>At its 2/14 meeting, the Finance Committee requested more information and a presentation on ASE before taking action.</p>	<p>This bill, coauthored by Senator Wiener and others, has been an adopted legislative priority of the SFCTA and SFMTA for years. It would allow both San Francisco and San Jose to pilot the use of ASE to enforce speed limits, consistent with the City’s adopted Vision Zero policies.</p> <p>At its February 14 meeting, the SFCTA Finance Committee asked staff to coordinate with the SFMTA to address questions raised about potential job loss, privacy concerns, burdens on low income persons of imposing a new fine, effectiveness, and privacy. These will be addressed in a presentation provided to the Board in February or March.</p>

San Francisco County Transportation Authority  
February 2017

Bill #	Author	Description	Status	Position	Comments
<p><a href="#">SB 1</a> Amended: 1/26/2017 <a href="#">Text</a></p>	<p><a href="#">Beall D</a> (Dist 15)</p>	<p>Transportation funding. Would create the Road Maintenance and Rehabilitation Program to address deferred maintenance on the state highway system and the local street and road system. The bill would require the California Transportation Commission to adopt performance criteria, consistent with a specified asset management plan, to ensure efficient use of certain funds available for the program. This bill contains other related provisions and other existing laws.</p>	<p>Senate Transportation and Housing</p>	<p>New - Recommend Support</p>	<p>This bill would create the road maintenance and rehabilitation program to address deferred maintenance on the state highway system and local roads. New gas tax, diesel tax, registration fee, and other sources would generate \$6 billion annually.</p>
<p><a href="#">SB 4</a> Introduced: 12/5/2016 <a href="#">Text</a></p>	<p><a href="#">Mendoza D</a> (Dist 32)</p>	<p>Goods Movement: allocation of federal funds: Goods Movement and Clean Trucks Bond Act. This bill, subject to voter approval at the June 5, 2018, statewide primary election, would enact the Goods Movement and Clean Trucks Bond Act to authorize \$600,000,000 of state general obligation bonds as follows: \$200,000,000 to the California Transportation Commission for projects and programs eligible for funding from the Trade Corridors Improvement Fund; \$200,000,000 to the State Air Resources Board for projects and programs consistent with the Goods Movement Emission Reduction Program; and \$200,000,000 to the State Air Resources Board for projects and programs to expand the use of zero- and near-zero emission trucks in areas of the state that are designated as severe or extreme nonattainment areas for ozone and particulate matter.</p>	<p>Senate</p>	<p>New - Recommend Watch</p>	<p>This is one of several measures that comprise the Senate "California Rebuild" Infrastructure package.</p>

San Francisco County Transportation Authority

February 2017

Bill #	Author	Description	Status	Position	Comments
<p><a href="#">SB 35</a> Introduced: 12/5/2016 <a href="#">Text</a></p>	<p><a href="#">Wiener D</a> (Dist 11)</p>	<p>Planning and Zoning: affordable housing: streamline. The Planning and Zoning Law requires a city or county to adopt a general plan for land use development within its boundaries that includes, among other things, a housing element. Existing law provides for various incentives intended to facilitate and expedite the construction of affordable housing. Existing law requires the Department of Housing and Community Development to determine existing and projected needs for housing for each region and, in consultation with each council of governments, adopt a final regional housing plan that allocates a share of the regional housing need to each city, county, or city and county that meets specified requirements. This bill would state the intent of the Legislature to enact legislation to streamline, incentivize, and remove local barriers to housing creation, as specified.</p>	Senate Rules	New - Recommend Watch	<p>This is a “spot” bill intending to eventually address the removal of barriers to implementing housing, and affordable housing in particular. As such, it serves as a placeholder until additional statutory language is amended into the measure. It has been referred to Rules committee until such time as it is amended.</p>
<p><a href="#">SCA 2</a> Introduced: 1/18/2017 <a href="#">Text</a></p>	<p><a href="#">Newman D</a> (Dist 29)</p>	<p>Motor vehicle fees and taxes: restriction on expenditures. Would prohibit the Legislature from borrowing revenues from fees and taxes imposed by the state on vehicles or their use or operation, and from using those revenues other than as specifically permitted by Article XIX. The measure would prohibit those vehicle revenues and fuel tax revenues from being pledged or used for the payment of principal and interest on general obligation bonds issued by the state, except that vehicle weight fee revenues would be authorized to be pledged or used for the payment of principal and interest on general obligation transportation bonds approved prior to January 1, 2017. This bill contains other related provisions and other existing laws.</p>	Senate Transportation and Housing	New - Recommend Watch	<p>The author intended the measure to protect new revenues generated by new transportation funding measures such as AB 1 or SB 1. However, it is not clear whether the bill as written accomplishes this and the author is currently analyzing the proposed language.</p>

Total Measures: 15



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RESOLUTION APPROVING AN ELIGIBLE LIST FOR ON-CALL PROJECT MANAGEMENT OVERSIGHT AND GENERAL ENGINEERING SERVICES, AUTHORIZING THE EXECUTIVE DIRECTOR TO EXECUTE CONTRACTS WITH SHORTLISTED CONSULTANTS FOR A THREE-YEAR PERIOD WITH OPTIONS TO EXTEND FOR TWO ADDITIONAL ONE-YEAR PERIODS IN A COMBINED TOTAL AMOUNT NOT TO EXCEED \$6,000,000, AND AUTHORIZING THE EXECUTIVE DIRECTOR TO NEGOTIATE PAYMENT TERMS AND NON-MATERIAL CONTRACT TERMS AND CONDITIONS

WHEREAS, In its three core roles – to plan, fund and deliver transportation improvements for San Francisco – the Transportation Authority has responsibility for project development, delivery or delivery support and oversight of a wide range of projects covering all modes of surface transportation, in addition to implementation responsibilities for several major capital projects; and

WHEREAS, On-call project management oversight (PMO) and general engineering consultant (GEC) services are intended to augment and complement the Transportation Authority's internal resources by providing specialized expertise, serving as an on-call supplement to staff particularly for oversight and delivery support for major capital projects, handling tasks during peak workloads, and taking on tasks requiring quicker response times than existing staff resources alone would permit; and

WHEREAS, The proposed list of qualified firms shall provide the Transportation Authority with services on an on-call, task order basis to enhance the Transportation Authority's project development, delivery support and oversight capabilities; and

WHEREAS, On November 1, 2016, the Transportation Authority issued a Request for Qualifications (RFQ) for on-call project management oversight and general engineering services; and



WHEREAS, By the due date of November 30, 2016, the Transportation Authority received 43 Statements of Qualifications (SOQs); and

WHEREAS, A review panel consisting of Transportation Authority and San Francisco Municipal Transportation Agency staff evaluated the proposals based on the qualifications and other criteria outlined in the RFQ; and

WHEREAS, Interviews were not conducted nor deemed necessary due to the quality of the SOQs and the familiarity of staff with previous work performed by the majority of submitting firms; and

WHEREAS, Based on the competitive selection process, the review panel recommended pre-qualifying 28 of the 43 firms or teams of firms (respondents) in one to three categories of expertise identified in the RFQ, including 9 respondents for project management oversight and support services, 17 respondents for project delivery and project controls support services, and 22 respondents for general engineering services as shown in Attachment 2; and

WHEREAS, Budget for these activities will be funded by a combination of federal Surface Transportation Planning grants, federal grants from Caltrans and the Metropolitan Transportation Commission, local contributions from the Treasure Island Development Authority, and Prop K sales tax funds; and

WHEREAS, The first year's activity is included in the Transportation Authority's adopted Fiscal Year 2016/17 budget, and sufficient funds will be included in future fiscal year budgets to cover the remaining cost of the contracts; and

WHEREAS, At its January 11, 2017 special meeting, the Citizens Advisory Committee was briefed on and unanimously adopted a motion of support for the staff recommendation; and

WHEREAS, At its February 14, 2017 meeting, the Finance Committee reviewed and unanimously recommended approval of the staff recommendation; now, therefore, be it

RESOLVED, That the Transportation Authority hereby approves an eligible list of 28 consultants and authorizes the Executive Director to execute contracts with shortlisted consultants for a three-year period, with options to extend for two additional one-year periods, in a combined total amount not to exceed \$6,000,000, for on-call PMO and GEC services; and be it further

RESOLVED, That the Executive Director is hereby authorized to negotiate contract payment terms and non-material contract terms and conditions; and be it further

RESOLVED, That for the purposes of this resolution, “non-material” shall mean contract terms and conditions other than provisions related to the overall contract amount, terms of payment, and general scope of services; and be it further

RESOLVED, That notwithstanding the foregoing and any rule or policy of the Transportation Authority to the contrary, the Executive Director is expressly authorized to execute agreements and amendments to agreements that do not cause the total agreement value, as approved herein, to be exceeded and that do not expand the general scope of services.

Attachments (2):

1. On-Call PMO and GEC Scope of Services
2. On-Call PMO and GEC Contract Shortlisted Respondents

## Attachment 1

### On-Call Project Management Oversight and General Engineering Consultant Services

#### Scope of Work

The Transportation Authority seeks consultant services to support various projects described above, and others that may arise. Anticipated tasks and desired areas of expertise are listed below. It is the intent of the Transportation Authority to pre-qualify multiple consultant firms and/or teams of firms (hereafter “Respondents”) in the major tasks described below that will collectively provide the best overall service packages to the Transportation Authority, inclusive of fee considerations, on an as-needed basis for transportation projects through the issuance of task orders.

Following Board authorization to award a contract(s), the Transportation Authority will contract with the selected Respondents for a term of up to three years, with an option to extend, which may be exercised at the discretion of the Transportation Authority, for two additional one-year periods (up to a total of five years). The Transportation Authority has budgeted \$8,000,000 for these contracts for the first three-year term, with the value of subsequent one-year extensions to be determined by future Transportation Authority budgets. Please note this is a ceiling and not a target.

The Transportation Authority seeks consultant services with expertise in the areas below. Respondents must declare which capabilities they are qualified to support. Respondents may submit evidence of qualifications for some or all of the areas of expertise, and state those areas for which pre-qualification is sought. Specialty consultants may respond to this request individually, and/or as part of one or more teams of firms.

#### TASK 1 – Project Management Oversight and Support Services

The project management oversight (PMO) and project management support services required will include:

- Hold or attend project progress meetings, weekly or as deemed necessary, between sub-consultants, the Transportation Authority, Caltrans oversight, SFMTA, other City agencies such as San Francisco Public Works (SFPW) and the Planning Department, and other interested parties. Prepare and distribute minutes of all meetings.
- Participate in monthly and / or quarterly project status updates, roadmap calls, or relevant public hearings or meetings and prepare meeting minutes, and recommend resolution of outstanding concerns.
- Arrange for, coordinate and participate in pre-bid conferences, including preparation of meeting minutes, including a comprehensive list of Action Items, when requested.
- Prepare monthly progress reports documenting the progress of each project describing key project delivery issues as they relate to meeting the project objectives and more significantly for quality, cost and schedule status.
- Establish and process project control documents including:
  - Progress reports and minutes of project team meetings
  - Review and analysis of monthly invoices
  - Review and analysis of project submittals
  - Review and analysis of contract modifications and negotiations



- Review of certified payrolls
- Perform review of contract documents (construction plans, special provisions, bid proposal and relevant information) for various projects and submit a report on discrepancies, inconsistencies, omissions, ambiguities, proposed changes and recommendations.
- Evaluate, negotiate, recommend, and prepare changes to the grant agreements. Perform quantity and cost analysis as required for negotiation of scope and budget changes to project grant agreements.
- Evaluate, negotiate and make recommendations related to funding and financing strategies and plans developed by project sponsors or implementing agencies.
- Perform constructability review of the construction contract documents (construction plans, special provisions, bid proposal and relevant information) for various projects and submit a constructability report on discrepancies, inconsistencies, omissions, ambiguities, proposed changes and recommendations.
- Monitor project budget, purchases and payments.
- Monitor design consultant and stakeholder review activities.
- Review Master Project (baseline) and monthly Project Construction schedules and associated updates, and evaluate actual progress, weather delays and change order impacts. Compare work progress with planned schedule and notify the Transportation Authority and Project Sponsors of project slippage. Review contractor's plan to mitigate schedule delays.
- Development and review of cooperative agreements with various agencies
- Development and review of memorandums of understanding and coordination agreements

Desired areas of expertise include:

- 1.1 Project Management Oversight
- 1.2 Project Management Support Services
- 1.3 Interagency Processes & Coordination
  - 1.3.1 Caltrans
  - 1.3.2 Federal Highway Administration (FHWA)
  - 1.3.3 Federal Transit Administration (FTA)
  - 1.3.4 Federal Railroad Administration
  - 1.3.5 City and County of San Francisco
  - 1.3.6 Other (please specify)

TASK 2 – Project Delivery and Project Controls Support Service

Project Delivery and Project Controls support services required will include:

- Monitor project budget, purchases and payments; and report expenditures against project funding and percent completion.
- Prepare and maintain a detailed Critical Path Method (CPM) schedule including pre-construction, construction, and project start-up activities into revenue operation.

- Complete review, comment and approval of the project's baseline schedule of work and propose how the project may be implemented more effectively.
- Maintain project documentation per Federal and State requirements. Enforce Labor Compliance requirements when required.
- Prepare, recommend and negotiate project funding and financing strategies and plans.
- Establish and process project control documents including:
  - Progress reports and minutes of project team meetings
  - Monthly invoice reviews
  - Certifications
  - Project Submittals
  - Contract modifications and negotiations
  - Review of certified payrolls
- Review of design documents for feasibility, constructability, and construction sequencing
- Review of design documents for value engineering
- Preparation of project funding and finance strategies and plans
- Identification of opportunities for innovative project delivery methods
- Establish and implement a QA/QC procedure for the engineering efforts undertaken for specific projects by in-house staff and by sub-consultants. The QA/QC procedure set forth for the projects shall be consistent with the project funding partner's requirements as well as the Transportation Authority's requirements. QA/QC procedures are to be consistent with governing federal, state or local agency guidance as applicable including guidance promulgated by Caltrans, FHWA or FTA.

Desired areas of expertise include:

- 2.1 Project Delivery Methods
  - 2.1.1 Design-Bid-Build
  - 2.1.2 Design-Build
  - 2.1.3 Construction Manager-General Contractor or Construction Manager at Risk
  - 2.1.4 Design-Build-Finance-Operate-Maintain
- 2.2 Public Private Partnership Evaluation (e.g. Value for Money analysis)
- 2.3 Funding and Financing Strategy Development
- 2.4 Feasibility, Constructability, and Construction Sequencing
- 2.5 Risk Analysis and Management
- 2.6 Value Engineering
- 2.7 Cost Estimating
- 2.8 Cost and Schedule Controls
- 2.9 Procedures, Quality Assurance, and Project Management Plans

TASK 3 – General Engineering Services

The general engineering (GE) consulting services required will include, but not limited to:

- Prepare preliminary engineering documents for local roadway, highway and transit projects
- Review and comment on preliminary engineering documents for local roadway, highway and transit projects

Desired areas of expertise include:

- 3.1 Traffic Engineering
- 3.2 Transit Operations, Systems, and Vehicles
- 3.3 Geotechnical analysis and evaluations
- 3.4 Disciplines applied to Transportation Facilities & Infrastructure
  - 3.4.1 Civil Engineering
  - 3.4.2 Structural Engineering
  - 3.4.3 Geotechnical Engineering
  - 3.4.4 Tunnel and Underground Engineering
  - 3.4.5 Hydrology and Drainage Engineering
  - 3.4.6 Utility Engineering and Agreements
  - 3.4.7 Mechanical Engineering
  - 3.4.8 Electrical Engineering
  - 3.4.9 Materials Engineering
  - 3.4.10 Architecture
  - 3.4.11 Landscape Architecture
- 3.5 Surveying and mapping
- 3.6 Environmental Permitting, Impact Evaluation, Clearance, and Compliance
- 3.7 Real Estate and Right of Way Acquisition Services
- 3.8 Intelligent Transportation Systems and Technologies
- 3.9 Tolling Systems Integration and Commissioning
- 3.10 Ferry Service planning, engineering, operations

General Administration

The Consultant will also perform the following general project administrative duties:

- a) Prepare a monthly summary of total consultant service charges made to each task. This summary shall present the contract budget for each task, any re-allocated budget amounts, the prior billing amount, the current billing, total billed to date, and a total percent billed to date. Also for each task, prepare an estimate of budget needed to complete the task and compare this amount to the original and modified budget, funding and percent of scope completed to track project effectiveness. Narratives will contain a brief analysis of budget-to-actual expenditure variances, highlighting any items of potential concern for Transportation Authority consideration before an item becomes a funding issue.
- b) Provide a summary table in the format determined by the Transportation Authority indicating the amount of Disadvantaged Business Enterprise (DBE), Small Business Enterprise (SBE), and Local Business Enterprise (LBE) firm participation each month based upon current billing and total billed to date. Include the actual invoiced to-date and paid to-date figures and compare them to the original budget in the contract to track performance against DBE/SBE/LBE goals.
- c) Provide a monthly invoice in the standard format determined by the Transportation Authority that will present charges by task, by staff members at agreed-upon hourly rates, with summary

expense charges and sub-consultant charges. Detailed support documentation for all consultant direct expenses and sub-consultant charges will be attached.

The selected Consultant firms/teams shall demonstrate the availability of qualified personnel to perform general engineering and contract administration. All reports, calculations, measurements, test data and other documentation shall be prepared on forms specified and/or consistent with either Caltrans or FTA standards.

#### Licensing Requirements

All persons in responsible charge of engineering and oversight of projects for which the California Professional Engineers Act (Building and Professions Code §§ 6700-6799) requires licensing as professional engineers in the State of California shall be so licensed. Each person in responsible charge of engineering is to be licensed in the discipline appropriate for that person's scope of responsibility and anticipated tasks. Persons in responsible charge of non-engineering disciplines that require licensing in the State of California are to be licensed appropriately.

**Attachment 2  
Shortlisted Respondents  
On-Call Project Management Oversight and General Engineering Consultant Services**

No.	Prime Consultant	Project Management	Project Delivery & Controls	General Engineering	Area(s) of Expertise	Subconsultants
1	AECOM			X	Highway/Transit/ Environmental	Associated Right of Way Services, Inc. (SBE) Haygood & Associates (DBE) WRECO (DBE, SBE) YEI Engineers, Inc. (DBE, SBE) Y&C Transportation Consultants, Inc. (DBE, SBE)
2	Associated Right of Way Services, Inc. (SBE)			X	Right-of-way	N/A
3	Biggs Cardoso Associates, Inc. (LBE)		X	X	Structural	N/A
4	Brierley Associates Corporation		X	X	Geotech/Tunneling	Alta Engineering Group, Inc. (DBE, SBE, LBE) Dr. Mole, Inc.
5	Cardno, Inc.			X	Environmental	Associated Right of Way Services, Inc. (SBE) Fanning & Company, LLC Parisi Transportation Consulting (DBE, SBE) Value Management Strategies, Inc.
6	Ernst & Young Infrastructure Advisors, LLC		X		Financial	N/A
7	Fehr & Peers (LBE)			X	Traffic	N/A
8	HDR Engineering, Inc. (LBE)		X	X	Highway/ Public Private Partnership	Biggs Cardoso Associates (LBE) CirclePoint (SBE) Daniller Consulting (DBE, LBE) Far Western Fehr & Peers (LBE) FMG Architects (DBE, LBE) Geotechnical Consultants, Inc. (DBE, LBE) Illingworth & Rodkin, Inc. (SBE) JRP Historical Consulting, LLC (SBE) Merrill Morris Partners (DBE, SBE, LBE) MSA Design & Consulting (SBE, LBE) Parikh Consultants (DBE, SBE) Parisi Transportation Consulting (DBE, SBE) Transamerican Engineers & Associates (DBE, LBE) WRECO (DBE, SBE)

**Abbreviations:**  
DBE: Disadvantaged Business Enterprise  
SBE: Small Business Enterprise  
LBE: Local Business Enterprise

No.	Prime Consultant	Project Management	Project Delivery & Controls	General Engineering	Area(s) of Expertise	Subconsultants
9	HNTB Corporation (LBE)	X	X	X	Highway/Tolling	N/A
10	Infrastructure Development Strategies (DBE)		X		Public Private Partnership/ Financial	Project Finance Advisory Ltd.
11	Kimley-Horn			X	Traffic	Acumen Building Enterprise, Inc. (DBE, SBE) Stevens & Associates (DBE, SBE, LBE) Davis & Associates Communications, Inc. (DBE, SBE, LBE)
12	Kittelson & Associates, Inc.			X	Traffic	N/A
13	McMillen Jacobs Associates		X	X	Tunneling	N/A
14	Mott MacDonald (LBE)	X	X	X	Highway/Transit	Acosta Engineering Solutions, P.C. (DBE, SBE, LBE) CDM Smith, Inc. CHS Consulting Group (DBE, SBE, LBE) ICF Jones & Stokes, Inc. Kwan Henmi Architecture/Planning (DBE, SBE) Rail Surveyors and Engineers, Inc. (DBE) Sperry Capital, Inc. (SBE) Zoon Engineering, Inc. (SBE)
15	Overland, Pacific & Cutler, Inc.			X	Right-of-way	N/A
16	Parisi Transportation Consulting (DBE, SBE)	X		X	Traffic	N/A
17	Parsons (LBE)	X	X	X	Highway/Environmental	AGS, Inc. (DBE, SBE, LBE) Associated Right of Way Services, Inc. (SBE) Bicycle Solutions CDM Smith Inc. Chaudhary & Associates, Inc. (DBE, SBE) CHS Consulting Group (DBE, SBE, LBE) Johnson Marigot Consulting, LLC (SBE) JRP Historical Consulting, LLC (SBE) Moffatt & Nichol Resource Sciences and Planning, LLC (DBE) Silicon Transportation Consultants (DBE, SBE) Terry A. Hayes Associates Inc. (DBE, SBE) Value Management Strategies, Inc. WRECO (DBE, SBE)

**Abbreviations:**

DBE: Disadvantaged Business Enterprise

SBE: Small Business Enterprise

LBE: Local Business Enterprise

No.	Prime Consultant	Project Management	Project Delivery & Controls	General Engineering	Area(s) of Expertise	Subconsultants
18	Rajappan & Meyer Consulting Engineers, Inc. (SBE)			X	Highway	CHS Consulting Group (DBE, SBE, LBE) Jacobs Engineering Group WRECO (DBE, SBE)
19	S&C Engineers, Inc. (SBE)	X	X		Constructability	N/A
20	SENER Engineering & Systems Inc.		X		Public Private Partnership	N/A
21	Silicon Transportation Consultants (DBE, SBE)			X	Tolling	N/A
22	Sperry Capital, Inc. (SBE)		X		Public Private Partnership/ Financial	N/A
23	Stantec Consulting Services Inc.	X	X	X	Project Management/Ferry/ Intelligent Transportation Systems	Advance Project Delivery Inc. BayPac Consult Inc. (DBE) Klingensmith Enterprises, Inc. Novani, LLC (DBE) Prop SF LLC S Kwok Engineers, Inc. (DBE, SBE) Silicon Transportation Consultants (DBE, SBE) Tideline Marine Group, Inc. Vali Cooper & Associates, Inc.
24	Traffic Technologies Inc. (LBE)	X	X	X	Tolling	N/A
25	T.Y. Lin International		X	X	Structural	AGS, Inc. (DBE, SBE, LBE) Applied Materials & Engineering, Inc. (DBE) Earth Mechanics, Inc. (DBE, SBE) Haygood & Associates (DBE) LDA Architects Inc. (SBE, LBE) McMillen Jacobs Associates Stevens & Associates (DBE, SBE, LBE) WRECO (DBE, SBE)

**Abbreviations:**  
 DBE: Disadvantaged Business Enterprise  
 SBE: Small Business Enterprise  
 LBE: Local Business Enterprise

No.	Prime Consultant	Project Management	Project Delivery & Controls	General Engineering	Area(s) of Expertise	Subconsultants
26	WMH Corporation (SBE)			X	Highway	Apex Strategies Associated Right of Way Services, Inc. (SBE) David J. Powers (DBE) Earth Mechanics, Inc. (DBE, SBE) Fehr & Peers (LBE) Haygood & Associates (DBE) MGE Engineering, Inc. (DBE, SBE) Parisi Transportation Consulting (DBE, SBE) Radman Aerial (SBE) Rail Surveyors and Engineers, Inc. (DBE) Towill, Inc. WRECO (DBE, SBE) WSP/Parsons Brinckerhoff (LBE) Y&C Transportation Consultants, Inc. (DBE, SBE)
27	WSP/Parsons Brinckerhoff (LBE)	X	X	X	Highway/Environmental	Abtahi Engineering Management Consulting (SBE) Barbary Coast Consulting (DBE, SBE, LBE) Baymetrics (DBE) CHS Consulting Group (DBE, SBE, LBE) Cooper Pugeda Management Inc. (DBE, SBE, LBE) Fagan Consulting, LLC (DBE) KPMG M Lee Corporation (DBE, SBE, LBE) Transamerican Engineers & Associates (DBE, LBE) WRECO (DBE, SBE) YEI Engineers, Inc. (DBE, SBE) Zoon Engineering, Inc. (SBE)
28	Zurinaga Associates (DBE)	X	X		Project Management	Cole Management & Engineering, Inc. (DBE, SBE) KL Bartlett Consulting (DBE) PDM Group Inc. (DBE) Pendergast Consulting Group (DBE, SBE)
	<b>Total Respondents by Category</b>	<b>9</b>	<b>17</b>	<b>22</b>		

**Abbreviations:**

DBE: Disadvantaged Business Enterprise

SBE: Small Business Enterprise

LBE: Local Business Enterprise







# Memorandum

**Date:** 02.08.17 **RE:** Finance Committee  
February 14, 2017

**To:** Finance Committee: Commissioners Fewer (Chair), Cohen (Vice Chair), Kim, Ronen, Yee and Peskin (Ex Officio)

**From:** Eric Cordoba – Deputy Director for Capital Projects 

**Through:** Tilly Chang – Executive Director 

**Subject:** **ACTION** – Recommend Approving an Eligible List for On-Call Project Management Oversight and General Engineering Services, Authorizing the Executive Director to Execute Contracts to Shortlisted Consultants for a Three-Year Period with an Option to Extend for Two Additional One-Year Periods in a Combined Total Amount Not to Exceed \$6,000,000, and Authorizing the Executive Director to Negotiate Payment Terms and Non-Material Contract Terms and Conditions

## Summary

On November 1, 2016, the Transportation Authority issued a Request for Qualifications (RFQ) for on-call project management and general engineering consultant services to augment and complement the Transportation Authority's internal resources over the next three years, up to a maximum of five years. These firms will serve as an on-call supplement to staff particularly for oversight and delivery support for major capital projects, handling tasks during peak workloads, and taking on tasks requiring specialized expertise and quicker response times than existing staff resources alone would permit. The establishment of contracts with multiple consultant teams will enable the Transportation Authority to enlist the services of a broad range of engineering consultant specialists on an on-call, task order basis. By the due date of November 30, 2016, the Transportation Authority received 43 Statements of Qualifications in response to the RFQ. The review panel consisting of Transportation Authority and San Francisco Municipal Transportation Agency staff evaluated the proposals based on the qualifications and other criteria outlined in the RFQ. Based on this competitive selection process, the review panel recommends the approval of an eligible list and awarding consultant contracts to the 28 firms listed in Attachment 2.

## BACKGROUND

In its three core roles – to plan, fund and deliver transportation improvements for San Francisco – the Transportation Authority has responsibility for project development, delivery or delivery support and oversight of a wide range of projects covering all modes of surface transportation, such as the Transbay Transit Center and downtown rail extension projects, Caltrain Modernization projects, and many transit, bike, pedestrian and streetscape projects led by the San Francisco Municipal Transportation Agency (SFMTA) and others. In addition, the Transportation Authority has implementation responsibilities for several major capital projects, such as design and construction of the Yerba Buena Island Interchange Improvement project, I-280/Interchange Modifications at Balboa Park, Vision Zero Ramp Intersections, Treasure Island Mobility Management Agency (TIMMA) Infrastructure Projects, and planning and project development of freeway corridor management improvements.

On-call project management oversight (PMO) and general engineering consultant (GEC) services are intended to augment and complement the Transportation Authority's internal resources by providing specialized expertise, serving as an on-call supplement to staff particularly for oversight and delivery support for major capital projects, handling tasks during peak workloads, and taking on tasks requiring quicker response times than existing staff resources alone would permit. The Transportation Authority has used on-call lists of engineering firms in the past to expedite project delivery and expand the skillset and resources available. In addition to its involvement with the major capital projects listed above, the Transportation Authority oversees all other projects and programs in the Prop K and Prop AA Expenditure Plans; provides oversight and support for the Transportation Fund for Clean Air (TFCA) projects programmed by the Transportation Authority; and in its capacity as Congestion Management Agency (CMA), assists project sponsors in meeting timely use of funds by deadlines and delivering projects funded with federal, state or regional funds.

Since August 2013, PMO and GEC services have been provided by Zurinaga Associates and VSCE, Inc. teams. Current contracts with these two teams will expire in June 2017. Consistent with the Transportation Authority's Procurement Policy, contracts, including all options therein, are generally limited to a maximum period of five years, after which they are re-bid. Attachment 3 summarizes the contract utilization and Disadvantaged Business Enterprise (DBE) participation rates for current PMO and GEC contracts.

## DISCUSSION

The purpose of this memorandum is to present the list of pre-qualified respondents to provide on-call PMO and GEC services and to seek a recommendation for the award of the contracts as requested.

The proposed bench of qualified firms shall provide the Transportation Authority with services on an on-call, task order basis to enhance the Transportation Authority's project development, delivery support and oversight capabilities. These consultants understand the multiple roles that the Transportation Authority plays, recognize the complexity of the inter-agency relationships and political sensitivity of many of the Transportation Authority's projects, and will develop reports and provide technical advice accordingly. Having redundancy also provides flexibility in the event of schedule conflicts or conflicts of interest. These consultants have been selected to address many aspects of project development, engineering, and delivery covering a broad range of multimodal projects including, but not limited to: tunnels, rail lines and transit stations, bus rapid transit, transit fleet rehabilitation and maintenance projects, transit facilities rehabilitation, water ferry service, roadways, structures and bridges, bicycle and pedestrian improvements, traffic calming, traffic signals and intelligent transportation systems, and various planning topics.

In the coming year, we anticipate continued need for project delivery oversight, project delivery support, and general engineering services as a large number of major projects are already in or moving into more advanced phases. For example, in Fiscal Year (FY) 2016/17, we will need PMO and GEC services to assist with continued implementation of oversight protocols for the SFMTA's Central Subway, the Transbay Joint Powers Authority's Transbay Transit Center (Phase I) and the Downtown Rail Extension (Phase II), and Caltrain Electrification and Modernization.

In addition, TIMMA Projects including tolling infrastructure, transit improvements, and water ferry service are being planned; the SFMTA's numerous transit modernization projects (e.g. radio replacement, facilities improvements) are ongoing; Van Ness Bus Rapid Transit (BRT) is entering construction and Geary Corridor BRT will be advancing design; the Yerba Buena Island's West Side Bridges will move into focus with an anticipated Construction Management General Contractor

procurement; the Freeway Corridor Management Study will move from the planning phase into an engineering phase; the Vision Zero Ramps planning and conceptual engineering study will kick off; and the I-280/Interchange Modifications at Balboa Park project will move towards the design phase.

**Procurement Process:** On November 1, 2016, we issued a Request for Qualifications (RFQ) for on-call PMO and GEC services. The scope of services is included as Attachment 1. It is our intent to pre-qualify multiple consultant firms and/or teams of firms in three major categories: 1) Project Management Oversight and Support Services, 2) Project Delivery and Project Controls Support Services, and 3) General Engineering Services. Engaging consultant firms through a task order contract allows the Transportation Authority flexibility to assign work to the team best capable of delivering the required services. The establishment of contracts with several on-call consultant teams will enable the Transportation Authority to enlist the services of a broader range of engineering consultant specialists and will provide more options to take advantage of their different areas of expertise and to avoid occasional schedule/availability conflicts or conflicts of interest.

We took steps to encourage participation from DBE, Small Business Enterprise (SBE) and Local Business Enterprise (LBE) firms, including advertising in six local newspapers: Nichi Bei Weekly, Small Business Exchange, San Francisco Bay View, San Francisco Examiner, San Francisco Chronicle and The Western Edition. We also distributed the RFQ to certified DBEs, SBEs, LBEs, the Bay Area and cultural Chambers of Commerce, and the Small Business Council. We held a pre-proposal conference on November 8, 2016, which provided opportunities for small business and larger firms to meet and form partnerships. A total of 84 firms attended the conference.

By the due date of November 30, 2016, we received 43 Statements of Qualifications (SOQs). The large number of SOQs received is a result of a new procurement technique for this particular contract of unbundling the scope of services and establishing an eligible list of specialty consultants to provide professional services on a task order basis, which allows smaller firms to submit proposals independently. The review panel, consisting of Transportation Authority and SFMTA staff, evaluated the proposals based on the qualifications and other criteria outlined in the RFQ, including the proposers' understanding of project objectives, technical and management approach, capabilities and experience, and approach to team organization and DBE, SBE and LBE inclusion. Interviews were not conducted nor deemed necessary due to the quality of the SOQs and the familiarity of staff with previous work performed by the majority of firms who submitted SOQs. In addition, the review panel evaluated each firm's strengths and weaknesses in each specialty area for which the firm is seeking consideration and reviewed the prime consultant's references.

Based on the competitive selection process, the review panel recommends pre-qualifying 28 of the 43 firms or teams of firms (collectively as respondents) – 9 respondents for Project Management Oversight and Support Services, 17 respondents for Project Delivery and Project Controls Support Services, and 22 respondents for General Engineering Services. Several firms are pre-qualified for more than one area of expertise as shown in Attachment 2. Pre-qualified respondents who possess similar areas of expertise may be invited to submit proposals and/or participate in oral interviews as part of the task order negotiation process. We may consider factors including but not limited to availability in the timeframe needed, known performance, DBE/SBE/LBE certification status, conflict of interest, and cost in the task order selection process. The selection of a consultant would be made based on the proposal that is deemed to best meet the evaluation criteria for the specific project. DBE, SBE and/or LBE goals will be established for each individual task order request, based on the project's funding sources, specific scope of work and determination of subcontracting opportunities for each assignment of work. Each respondent selected for a particular task order will be required to meet the established DBE/SBE/LBE goal for that particular task order.

## ALTERNATIVES

1. Recommend approving an eligible list for on-call project management oversight and general engineering services, authorizing the Executive Director to execute contracts to shortlisted consultants for a three-year period with an option to extend for two additional one-year periods in a combined total amount not to exceed \$6,000,000, and authorizing the Executive Director to negotiate payment terms and non-material contract terms and conditions, as requested.
2. Recommend approving an eligible list for on-call project management oversight and general engineering services, authorizing the Executive Director to execute contracts to shortlisted consultants for a three-year period with an option to extend for two additional one-year periods in a combined total amount not to exceed \$6,000,000, and authorizing the Executive Director to negotiate payment terms and non-material contract terms and conditions, with modifications.
3. Defer action, pending additional information or further staff analysis.

## CAC POSITION

The CAC was briefed on this item at its January 11, 2017 special meeting and unanimously adopted a motion of support for the staff recommendation.

## FINANCIAL IMPACTS

The scope of work described in the RFQ is anticipated in the Transportation Authority's adopted FY 2016/17 work program and budget through relevant projects and studies, including the Freeway Corridor Management Study. Budget for these activities will be funded by a combination of federal Surface Transportation Planning grants, federal grants from Caltrans and the Metropolitan Transportation Commission, local contributions from the Treasure Island Development Authority, and Prop K sales tax funds. The first year's activity is included in the Transportation Authority's adopted FY 2016/17 budget. Sufficient funds will be included in future fiscal year budgets to cover the remaining cost of the contracts.

## RECOMMENDATION

Recommend approving an eligible list for on-call project management oversight and general engineering services, authorizing the Executive Director to execute contracts to shortlisted consultants for a three-year period with an option to extend for two additional one-year periods in a combined total amount not to exceed \$6,000,000, and authorizing the Executive Director to negotiate payment terms and non-material contract terms and conditions

## Attachments (3):

1. On-Call Project Management Oversight and General Engineering Scope of Services
2. On-Call Project Management Oversight and General Engineering Contract Shortlisted Respondents
3. Contract Utilization and Disadvantage Business Enterprise Participation for Current On-Call Project Management Oversight and General Engineering Contracts

**Attachment 3.  
On-Call PMO & GEC Contract Utilization (2013 - 2017)**

<b>Project Description</b>	<b>Major Consultant(s)</b>	<b>Amount Awarded</b>
Project Management Oversight	Zurinaga Associates (DBE) <sup>(1)</sup>	\$ 1,645,178
I-80/Yerba Buena Island Ramps - East Side	Zurinaga Associates (DBE) <sup>(1)</sup> PDM Group, Inc. Associated Right of Way Services (SBE) K.L. Bartlett Consulting Pendergast Consulting Group (SBE) Parisi Transportation Consulting (DBE, SBE)	\$ 1,335,608
I-80/Yerba Buena Island Bridge Structures - West Side Improvement Project	Zurinaga Associates (DBE) <sup>(1)</sup> PDM Group, Inc. Associated Right of Way Services (SBE) K.L. Bartlett Consulting Parisi Transportation Consulting (DBE, SBE)	\$ 898,848
19th Ave Bulb-Outs Project Study Report/ Project Report	HNTB Corporation (LBE) PDM Group, Inc. Associated Right of Way Services (SBE)	\$ 389,665
Treasure Island Mobility Management Agency (TIMMA) Pre-Implementation Support	FRSF Consulting	\$ 228,247
Geary Boulevard Bus Rapid Transit	Parisi Transportation Consulting (DBE, SBE) Pendergast Consulting Group (SBE) Stevens & Associates (DBE, SBE, LBE)	\$ 172,159
General Program Management Oversight Services	VSCE, Inc. (DBE, SBE) Acosta Engineering Solutions (DBE, SBE, LBE) Hill International Kimley-Horn and Associates	\$ 99,966
Future Operations Planning Assessment and Implementation Roadmap	HNTB Corporation (LBE)	\$ 84,625
Freeway Corridor Management Study Phase 2	PDM Group, Inc. Kimley-Horn and Associates	\$ 76,184
Lombard Street Corridor Project	PDM Group, Inc. Associated Right of Way Services (SBE)	\$ 57,276
TIMMA Phase 1 - Outreach	Pendergast Consulting Group (SBE)	\$ 55,669
TIMMA Tolling Environmental Support	Circlepoint (SBE)	\$ 52,937
Balboa Park Circulation Study	HNTB Corporation (LBE) Circlepoint (SBE)	\$ 43,934
Van Ness Avenue Bus Rapid Transit	VSCE, Inc. (DBE, SBE) Hill International Kimley-Horn and Associates	\$ 42,346
Vision Zero Ramp Intersection Study	Parisi Transportation Consulting (DBE, SBE)	\$ 26,461
Project Management Training	Zurinaga Associates (DBE) <sup>(1)</sup>	\$ 22,813

**Attachment 3.**  
**On-Call PMO & GEC Contract Utilization (2013 - 2017)**

<b>Project Description</b>	<b>Major Consultant(s)</b>	<b>Amount Awarded</b>
Northbound San Jose Avenue and I-280 Off-Ramp	Parisi Transportation Consulting (DBE, SBE)	\$ 20,778
City Carshare eFleet Car Sharing Electrified Project	Advance Project Delivery	\$ 20,610
Freeway Corridor Management Study Phase 1	FRSF Consulting	\$ 14,780
I-280 Interchange Modifications at Balboa Park	CHS Consulting (DBE, SBE, LBE)	\$ 12,165
Folsom Street Ramps Project	Zurinaga Associates (DBE) <sup>(1)</sup>	\$ 9,606
19th Ave M-Line Replacement Transit Study Outreach	Circlepoint (SBE)	\$ 4,778
<b>Total Executed Task Orders</b>		<b>\$ 5,314,633</b>

<sup>(1)</sup> Effective as of August 31, 2015, Cordoba/Zurinaga Joint Venture changed its name to Zurinaga Associates.

Attachment 3.  
On-Call PMO & GEC Contracts (2013 - 2017) DBE Participation

Total Executed Task Orders	\$ 5,314,633
Amount Awarded to DBE Firms	\$ 2,834,617
Percent of Task Orders Awarded to DBE Firms	53%
Contract DBE Goal	22%



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RESOLUTION AUTHORIZING BORROWING UP TO \$46,335,835, TO A TOTAL AMOUNT NOT TO EXCEED \$140,000,000, FROM THE REVOLVING CREDIT AGREEMENT WITH STATE STREET PUBLIC LENDING CORPORATION; THE EXECUTION AND DELIVERY OF LEGAL DOCUMENTS RELATING THERETO; AND THE TAKING OF ALL OTHER ACTIONS NECESSARY OR DESIRABLE IN CONNECTION THEREWITH

WHEREAS, The San Francisco County Transportation Authority (the “Transportation Authority”) is a county transportation authority duly organized and existing pursuant to the Bay Area County Traffic and Transportation Funding Act, being Division 12.5 of the Public Utilities Code of the State of California (Sections 131000 et seq.) (the “Act”); and

WHEREAS, The Board of Supervisors of the City and County of San Francisco adopted Resolution Number 485-03 on July 29, 2003, which approved the New Transportation Expenditure Plan for San Francisco, recommended on July 22, 2003 by the Transportation Authority (the “Expenditure Plan”) and called and provided for an election for the purpose of submitting to the voters a measure to enact an ordinance (the “Ordinance”) that would, in part, authorize implementation of the Expenditure Plan, continue collection of the retail transactions and use tax applicable in the City and County of San Francisco at the existing level of one-half of one percent (1/2%) (the “Sales Tax”), continue in effect the Transportation Authority as the independent agency to administer the Sales Tax and oversee implementation of the projects identified in the Expenditure Plan and authorize the Transportation Authority to issue limited tax bonds as needed, in a total outstanding aggregate amount not to exceed \$1,880,000,000 secured by and payable from the proceeds of the Sales Tax; and



WHEREAS, The enactment of the Ordinance and continued levy of the Sales Tax was approved by more than two-thirds of the electors voting on the measure to authorize enactment at the election held for such purpose on November 4, 2003; and

WHEREAS, Pursuant to Section 131109 and 131120 of the Act and the Ordinance, the Transportation Authority is authorized to issue limited tax bonds or bond anticipation notes secured by and payable from the proceeds of the Sales Tax levied by the Transportation Authority; and

WHEREAS, The Transportation Authority is party to a Revolving Credit Agreement, dated June 1, 2015 (the “Revolving Credit Agreement”), by and between the Transportation Authority and State Street Public Lending Corporation (“State Street”) pursuant to which the Transportation Authority may borrow amounts from State Street from time to time in accordance with the terms of such Revolving Credit Agreement and may have up to a \$140,000,000 outstanding at any one time; and

WHEREAS, The Transportation Authority’s obligations to repay amounts borrowed under the Revolving Credit Agreement constitute limited tax bonds and are payable from and secured by the Sales Tax as provided in the Second Amended and Restated Indenture, dated as of June 1, 2015 (the “Indenture”), by and between the Transportation Authority and U.S. Bank National Association, as Trustee and by the Sales Tax Revenues Bank Note (Limited Tax Bond) of the Transportation Authority dated June 11, 2015 (the “Bank Note”) issued pursuant to the Indenture; and

WHEREAS, The Transportation Authority presently has \$93,644,164 outstanding under the Revolving Credit Agreement and the Bank Note; and

WHEREAS, The Transportation Authority proposes to borrow up to an additional \$46,335,835 under the Revolving Credit Agreement and the Bank Note by effecting one or more draws under the Revolving Credit Agreement (the “Draw(s)”) to finance a portion of the costs and estimated costs incidental to, or connected with, some or all of the following transportation

improvements outlined in the Expenditure Plan: motor coach, trolley coach and light rail vehicle procurement, the San Francisco Municipal Transportation Agency's radio replacement project, associated Central Control and Communications projects, and other transportation improvements (the "Project"), including, without limitation, engineering, inspection, legal, fiscal agents, financial consultant and other fees, working capital and expenses of all proceedings for the Draw(s); and

WHEREAS, Draw(s) and the related limited tax bonds shall be in minimum principal amounts or specified amounts in excess thereof, shall mature, shall be payable and shall bear interest and shall be subject to a maximum interest rate and otherwise as set forth in the Revolving Credit Agreement, the Bank Note and the Indenture, as such agreements may be modified as permitted by this Resolution; and

WHEREAS, The total estimated cost of the portion of the Project to be financed with the Draw(s) is approximately \$46 million; and

WHEREAS, The Board of Commissioners of the Transportation Authority (the "Board") desires to authorize (i) the Draw(s) and (ii) the execution and delivery of all documents, instruments and agreements necessary or desirable in connection with the Draw(s), including, if and to the extent applicable, one or more requests for advance; one or more supplemental tax certificates; any amendments or modifications to or restatements of the Revolving Credit Agreement, the Indenture and the Bank Note; and other documents related thereto as deemed appropriate by an Authorized Representative (defined below) (collectively, the "Draw Documents"); and

WHEREAS, A staff recommendation has been prepared with respect to the Draw(s) and has been presented to the Citizens Advisory Committee and the Finance Committee and is attached hereto as Exhibit A (the "Staff Recommendation"); and

WHEREAS, At its January 25, 2017 meeting, the Citizens Advisory Committee was briefed on and unanimously adopted a motion of support for the Staff Recommendation; and



WHEREAS, At its February 14, 2017 meeting, the Finance Committee reviewed and unanimously recommended approval of the Staff Recommendation, now, therefore, be it

RESOLVED, That the Board hereby finds and declares that the statements, findings and determinations set forth above are true and correct; and be it further

RESOLVED, That the Board hereby authorizes the Draw(s). The Executive Director and the Chief Deputy Director of the Transportation Authority (each, an "Authorized Representative") are, and each of them acting alone is, hereby authorized, for and in the name of and on behalf of the Transportation Authority, to determine the timing and amount of the Draw(s), up to a total aggregate principal amount of \$46,335,835, and to execute by manual or facsimile signature and deliver the Draw Documents in the form approved by the Authorized Representative executing the same as being in the best interests of the Transportation Authority, such approval to be conclusively evidenced by the execution and delivery thereof; and be it further

RESOLVED, That the other officers, Board members, employees and agents are, and each of them acting alone is, hereby authorized, for and in the name of and on behalf of the Transportation Authority, to execute by manual or facsimile signature and deliver the Draw Documents in the form approved by an Authorized Representative to the extent necessary or desirable to comply with the terms of the Indenture, the Revolving Credit Agreement, the Bank Note or applicable law; and be it further

RESOLVED, That the Authorized Representatives are, and each of them acting alone is, hereby authorized, for and in the name of and on behalf of the Transportation Authority, to negotiate the terms of the Draw Documents so long as the aggregate amount of the Draw(s) does not exceed the amount set forth herein, and so long as neither the maximum outstanding amount nor the maximum interest rate under the Revolving Credit Agreement is increased; and be it further

RESOLVED, That the Authorized Representatives, and all other officers, employees and agents of the Transportation Authority are, and each of them acting alone is, hereby authorized to take any and all actions and execute and deliver such documents as an Authorized Representative deems necessary or advisable to carry out the purposes of this Resolution and the Ordinance and to consummate the Draw(s), and all actions heretofore taken by all officers, employees and agents of the Transportation Authority with respect to the Draw(s), are hereby approved, confirmed and ratified; and be it further

RESOLVED, That this Resolution shall take effect immediately upon its adoption and approval.



# Memorandum

**Date:** 02.08.17 **RE:** Finance Committee  
February 14, 2017

**To:** Finance Committee: Fewer (Chair), Cohen (Vice Chair), Kim, Ronen, Yee and Peskin (Ex Officio)

**From:** Cynthia Fong – Deputy Director for Finance and Administration *CF*

**Through:** Tilly Chang – Executive Director *TC*

**Subject:** **ACTION** – Recommend Authorization to Borrow up to \$46,335,835, to a Total Amount Not to Exceed \$140,000,000 from the Revolving Credit Agreement with State Street Public Lending Corporation

## Summary

The purpose of this memo is to brief the Finance Committee on our debt management strategy for the Prop K sales tax program and to request a recommendation for authorization to borrow up to \$46,335,836, to a total amount not to exceed \$140,000,000 in remaining capacity from our Revolver Credit Agreement (Revolver) with State Street Public Lending Corporation. We expect to need to draw down these funds within the next six months to meet the anticipated capital reimbursement requests for the Prop K program. The Revolver is short-term variable rate financing method and is basically a loan directly from a commercial bank. As of February 8, 2017, \$93,664,164 of the Revolver balance was outstanding and \$46,335,836 is available to draw upon to fund upcoming Prop K expenditures. Through ongoing discussions with our sponsors (particularly SFMTA) and financial advisors, KNN Public Finance, we have conducted cash flow analyses and anticipate the need to borrow \$25 million over the next few months from the Revolver and possibly up to \$46,335,835 in total over the next six-plus months to meet our financial commitments. This higher amount is not unexpected as we have been tracking some of the largest Prop K projects (largest in terms of the amount of Prop K funds allocated and remaining to be reimbursed), many of which are long-term projects that are now reaching completion or other milestones that will trigger large Prop K reimbursement requests. Among the major cash driver projects are the SFMTA's Radio Replacement Project, associated Central Control and Communications Projects, and the purchase of new fleets of motor coaches, trolleybuses and light-rail vehicles. Consistent with our debt management approach, we would use the Revolver to meet short-term cash needs, providing time for us to prepare to issue long-term debt (e.g. bonds). Based on our analysis of the Prop K major cash flow drivers, we are currently working on a schedule that calls for the Transportation Authority to be ready to issue a long-term bond in Fiscal Year 17/18.

## BACKGROUND

The Proposition K (Prop K) Strategic Plan is the financial tool that guides the implementation of the 30-year voter-approved Expenditure Plan, reconciling the timing of expected Prop K sales tax revenues with the schedule for availability of state, federal and other funds beyond Prop K, the Transportation Authority's debt issuance capacity, the Transportation Authority's own assessment of the deliverability schedule for proposed projects, and the costs associated with project escalation and debt financing. The Strategic Plan also sets policy (touching on programming, allocations, invoicing, reporting, financing, etc.) and provides guidance for the administration of the program ensuring prudent stewardship of the funds.

In order to help structure our efforts, we use three guiding principles that are fundamental in ensuring implementation of the Expenditure Plan as approved by the voters:

- Optimize leveraging of sales tax funds
- Support timely and cost-effective project delivery
- Maximize cost effectiveness of financing

Since 2004, the Transportation Authority has managed the cash needs of the Prop K program using annual Prop K revenues and short-term debt instruments even though the Strategic Plan anticipated the need for long-term debt earlier. Our ability to use short-term debt to cost effectively meet the Prop K programs capital reimbursement needs thus far is the result of a combination of factors including:

- Slower than anticipated allocations;
- Slower and lower amounts of reimbursement requests for capital projects (e.g. caused by sponsors billing other sources first as supported by Prop K policy, securing other fund sources and then de-obligating Prop K funds, lags in invoicing, and slower project delivery); and
- Working with project sponsors, particularly of the largest Prop K projects, to closely monitor project delivery and reimbursement rates, amending approved Prop K reimbursement schedules, as needed.

In 2005, the Board authorized the use of up to \$200 million in commercial paper, of which only \$150 million was outstanding at any time. In 2015, the Board authorized the replacement of the commercial paper program with a \$140 million tax-exempt revolving credit agreement (Revolver), an alternative variable rate financing method to traditional Commercial Paper Notes. The Revolver is basically a loan directly from a commercial bank and has resulted in reduced financing costs. The Revolver is secured by the transactions and use tax (Prop K sales tax) administered by the Transportation Authority, and provides a flexible source of financing for projects funded by Prop K. As of February 8, 2017, \$93,664,164 of the Revolver balance was outstanding and \$46,335,836 is available to draw upon to fund upcoming Prop K expenditures.

## DISCUSSION

The purpose of this memo is to brief the Finance Committee on our debt management strategy for the Prop K program and to request a recommendation for authorization to borrow up to \$46,335,836, to a total amount not to exceed \$140,000,000 in remaining capacity from the Revolver. We anticipate needing to draw down these funds within the next six months to meet the anticipated capital reimbursement requests for the Prop K program.

As of December 31st, 2016, Prop K capital projects costs total to \$27,288,660 and represent only the first quarter of expenditures<sup>1</sup>. Typically, reimbursement rates ramp up over the course of the fiscal year, with the fourth quarter resulting in the highest level of Prop K capital reimbursements paid by the Transportation Authority. The adopted budget assumed \$200 million in Prop K capital expenditures. It also projected borrowing \$25 million from the Revolver to be able to pay that level of Prop K reimbursements, given the forecast sales tax revenues.

Through ongoing discussions with our sponsors (particularly the San Francisco Municipal Transportation Agency (SFMTA)) and financial advisors, KNN Public Finance, we have conducted cash flow analyses

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<sup>1</sup> See Agenda Item #3 for the internal Accounting and Investment Report for the quarter ending December 31 2016.

that reinforce our budget assumption of needing to borrow \$25 million over the next few months from the Revolver and possibly up to \$46,335,835 in total over the next six-plus months to meet our financial commitments if the pace of project delivery and reimbursements ramp up as anticipated. If more than \$25 million is needed from the Revolver this fiscal year, we would incorporate this revision into the mid-year budget amendment. The outstanding loan balance on the Revolver is required to be paid at the end of the Revolving Credit Agreement on June 8, 2018 and has a rate of interest equal to the sum of 70% of 1-month LIBOR plus .30%. As of December 31, 2016, \$93,664,165 of the Revolver balance was outstanding, with an interest rate of 0.732%.

This need to address a rapid peaking in reimbursement request is precisely why we have a flexible debt instrument like the Revolver in place and why we have been closely tracking some of the largest Prop K projects (largest in terms of the amount of Prop K funds allocated and remaining to be reimbursed), many of which are long-term projects that are now entering active construction phases or reaching completion or other milestones that will trigger large Prop K reimbursement requests. Among the major cash driver projects are the SFMTA's Radio Replacement Project, associated Central Control and Communications Projects, and the purchase of new fleets of motor coaches, trolleybuses and light-rail vehicles. Attachment 1 shows that in aggregate, if these five sets of projects were to seek the maximum Prop K reimbursement allowable per the grant agreement as amended, reimbursements could total up to an additional \$103.7 million for just these projects. While we don't anticipate that this full amount is likely to be requested for reimbursement this fiscal year, we are expecting to see a significant portion of the \$100+ million requested for reimbursement in the next six months. We will provide an update to the Board in the spring when we bring the mid-year budget revision for action.

Consistent with our debt management approach, we would use the Revolver to meet short-term cash needs, providing time for us to prepare to issue long-term debt (e.g. bonds). Based on our cash flow analysis, we are currently working on a schedule that calls for the Transportation Authority to be ready to issue a long-term bond in Fiscal Year 2017/18. The intrinsic flexibility of the Revolver, in combination with a long-term bond supports our long-term financing plan to advance funds for projects to deliver the benefits sooner to the public, while minimizing financing costs. We will continue to monitor capital spending closely through a combination of cash flow needs for allocation reimbursements, progress reports, and conversations with project sponsors, particularly for our largest grant recipient, the SFMTA.

## ALTERNATIVES

1. Recommend authorization to borrow up to \$46,335,835, to a total amount not to exceed \$140,000,000 from the Revolving Credit Agreement with State Street Public Lending Corporation, as requested.
2. Recommend authorization to borrow up to \$46,335,835, to a total amount not to exceed \$140,000,000 from the Revolving Credit Agreement with State Street Public Lending Corporation, with modifications.
3. Defer action, pending additional information or further staff analysis.

## CAC POSITION

The CAC was briefed on this item at its January 25, 2017 meeting and unanimously adopted a motion of support for the staff recommendation.

## FINANCIAL IMPACTS



The adopted Fiscal Year 2016/17 budget already incorporates the need to borrow \$25 million from the Revolver to help pay for anticipated Prop K capital project reimbursement requests. Any additional amount borrowed will be included in the mid-year Fiscal Year 2016/17 budget amendment as well as the budget for future fiscal years, as appropriate.

#### **RECOMMENDATION**

Recommend authorization to borrow up to \$46,335,835, to a total amount not to exceed \$140,000,000 from the Revolving Credit Agreement with State Street Public Lending Corporation.

Attachment:

1. Prop K Major Cash Drivers

Attachment 1  
Prop K Major Cash Drivers

Prop K Major Cash Drivers	Total Prop K Allocations (as amended)	Remaining Balance as of 01.18.2017	Max Remaining FY16/17 Reimbursement <sup>1</sup>
Motor Coach Procurement	\$ 119,564,460	\$ 66,770,433	\$ 58,250,519
Radio Replacement	\$ 59,174,932	\$ 54,960,674	\$ 23,785,742
C3	\$ 35,313,094	\$ 12,013,357	\$ 11,449,565
Trolley Coach Procurement	\$ 26,192,073	\$ 11,656,004	\$ 7,156,004
Light Rail Vehicle Procurement	\$ 131,153,144	\$ 131,153,144	\$ 3,092,490
<b>Totals</b>	<b>\$ 371,397,703</b>	<b>\$ 276,553,613</b>	<b>\$ 103,734,321</b>

<sup>1</sup>Max Remaining FY 16/17 Reimbursement represents the maximum reimbursement amount the project sponsor could request this fiscal year based on the currently approved Prop K cash flow reimbursement schedule.

RESOLUTION ALLOCATING \$4,456,324 IN PROP K FUNDS AND \$2,540,359 IN PROP AA FUNDS, WITH CONDITIONS, FOR FIVE REQUESTS, SUBJECT TO THE ATTACHED FISCAL YEAR CASH FLOW DISTRIBUTION SCHEDULES, AND COMMITTING TO ALLOCATE \$320,000 IN PROP K FUNDS

WHEREAS, The Transportation Authority received four Prop K requests totaling \$4,456,324 and one Prop AA allocation request for \$2,540,359, as summarized in Attachments 1 and 2 and detailed in the enclosed allocation request forms; and

WHEREAS, The requests seek funds from the following Prop K Expenditure Plan categories: Street Resurfacing, Rehabilitation, and Maintenance; Traffic Calming; Pedestrian Circulation/Safety and Transportation/Land Use Coordination; as well as from the Street Repair and Reconstruction category of the Prop AA Expenditure Plan; and

WHEREAS, As required by the voter-approved Expenditure Plans, the Board has adopted a Prop K or Prop AA 5-Year Prioritization Program (5YPP) for all of the aforementioned Expenditure Plan programmatic categories; and

WHEREAS, One of the five requests is consistent with the 5YPP for the relevant category; and

WHEREAS, San Francisco Public Works' (SFPW's) request for the Filbert & Leavenworth Streets Pavement Renovation, and the San Francisco Municipal Transportation Agency's requests for the Wiggle Neighborhood Green Corridor and District 11 Neighborhood Greenways projects require 5YPP amendments as detailed in the enclosed allocation request forms; and WHEREAS, SFPW's request for the Bayshore Boulevard/Cesar Chavez Street/Potrero Ave Intersection Improvements (The Hairball) [Neighborhood Transportation Improvement Program (NTIP)



Capital] project includes a commitment to allocate \$320,000 in NTIP capital funds to the construction phase of the project upon completion of the design phase; and

WHEREAS, SFPW's request for the Brannan Street Pavement Renovation project requires a Prop AA Strategic Plan amendment to program to the subject project \$330,359 in cost savings deobligated from projects completed under budget; and

WHEREAS, After reviewing the requests, staff recommended allocating \$4,456,324 in Prop K funds and \$2,540,359 in Prop AA funds, with conditions, for five requests, and committing to a future allocation of \$320,000 in Prop K funds, as described in Attachment 3 and detailed in the enclosed allocation request forms, which include staff recommendations for Prop K and Prop AA allocation amounts, required deliverables, timely use of funds requirements, special conditions, and Fiscal Year Cash Flow Distribution Schedules; and

WHEREAS, There are sufficient funds in the Capital Expenditures line item of the Transportation Authority's adopted Fiscal Year 2016/17 budget to cover the proposed actions; and

WHEREAS, At its January 25, 2017 meeting, the Citizens Advisory Committee was briefed on the subject requests and unanimously adopted a motion of support for the staff recommendation; and

WHEREAS, On February 14, 2017 the Plans and Programs Committee reviewed the subject requests and unanimously recommended approval of the staff recommendation; now, therefore, be it

RESOLVED, That the Transportation Authority hereby amends the Prop AA Strategic Plan to program \$330,359 in Prop AA funds to the Brannan Street Pavement Renovation project as detailed in the enclosed Allocation Request Form; and be it further

RESOLVED, That the Transportation Authority hereby amends the Prop K Street

Resurfacing, Traffic Calming, Pedestrian Circulation/Safety and Transportation/Land Use Coordination 5YPPs, as detailed in the enclosed allocation request forms; and be it further

RESOLVED, That the Transportation Authority hereby allocates \$4,456,324 in Prop K funds and \$2,540,359 in Prop AA funds, with conditions, and commits to a future allocation of \$320,000 in Prop K funds, as summarized in Attachment 3 and detailed in the enclosed allocation request forms; and be it further

RESOLVED, That the Transportation Authority finds the allocation of these funds to be in conformance with the priorities, policies, funding levels, and prioritization methodologies established in the Prop K and Prop AA Expenditure Plans, the Prop K and Prop AA Strategic Plans, and the relevant 5YPPs; and be it further

RESOLVED, That the Transportation Authority hereby authorizes the actual expenditure (cash reimbursement) of funds for these activities to take place subject to the Fiscal Year Cash Flow Distribution Schedules detailed in the enclosed allocation request forms; and be it further

RESOLVED, That the Capital Expenditures line item for subsequent fiscal year annual budgets shall reflect the maximum reimbursement schedule amounts adopted and the Transportation Authority does not guarantee reimbursement levels higher than those adopted; and be it further

RESOLVED, That as a condition of this authorization for expenditure, the Executive Director shall impose such terms and conditions as are necessary for the project sponsors to comply with applicable law and adopted Transportation Authority policies and execute Standard Grant Agreements to that effect; and be it further

RESOLVED, That as a condition of this authorization for expenditure, the project sponsors shall provide the Transportation Authority with any other information it may request regarding the



use of the funds hereby authorized; and be it further

RESOLVED, That the Capital Improvement Program of the Congestion Management Program, the Prop K Strategic Plan, Prop AA Strategic Plan and relevant 5YPPs are hereby amended, as appropriate.

Attachments (4):

1. Summary of Applications Received
2. Project Descriptions
3. Staff Recommendations
4. Prop K/Prop AA Allocation Summary – FY 2016/17

Enclosure:

Prop K/Prop AA Allocation Request Forms (5)

Attachment 1: Summary of Applications Received

Source	EP Line No./Category <sup>1</sup>	Project Sponsor <sup>2</sup>	Project Name	Current Prop K Request	Current Prop AA Request	Total Cost for Requested Phase(s)	Leveraging		Phase(s) Requested	District	
							Expected Leveraging by EP Line <sup>3</sup>	Actual Leveraging by Project Phase(s) <sup>4</sup>			
Prop K	34	SFPW	Filbert & Leavenworth Streets Pavement Renovation	\$ 3,479,324		\$ 3,479,324	79%	0% for project, but Prop K is 11% of funding for SFPW's FY16/17 paving program	Construction	2	
Prop K	38, 40	SFMTA	Wiggle Neighborhood Green Corridor	\$ 797,000		\$ 2,473,110	48%	68%	Construction	5	
Prop K	40	SFPW	Bayshore Blvd/Cesar Chavez St/Potrero Ave Intersection Improvements (The Hairball) [NTIP Capital]	\$ 80,000		\$ 80,000	25%	0%	Design	9, 10	
Prop K	44	SFMTA	District 11 Neighborhood Greenways	\$ 100,000		\$ 400,000	40%	75%	Planning	11	
Prop AA	Street Repair & Reconstruction	SFPW	Brannan Street Pavement Renovation		\$ 2,540,359	\$ 3,994,926	NA	36%	Construction	6	
<b>TOTAL</b>						<b>\$ 4,456,324</b>	<b>\$ 2,540,359</b>	<b>\$ 10,427,360</b>	<b>39%</b>	<b>33%</b>	

Footnotes

<sup>1</sup> "EP Line No./Category" is either the Prop K Expenditure Plan line number referenced in the 2014 Prop K Strategic Plan or the Prop AA Expenditure Plan category referenced in the 2012 Prop AA Strategic Plan, including: Street Repair and Reconstruction (Street), Pedestrian Safety (Ped), and Transit Reliability and Mobility Improvements (Transit).

<sup>2</sup> Acronyms: SFMTA (San Francisco Municipal Transportation Agency); SFPW (San Francisco Public Works)

<sup>3</sup> "Expected Leveraging By EP Line" is calculated by dividing the total non-Prop K funds expected to be available for a given Prop K Expenditure Plan line item (e.g. Pedestrian Circulation and Safety) by the total expected funding for that Prop K Expenditure Plan line item over the 30-year Expenditure Plan period. For example, expected leveraging of 90% indicates that on average non-Prop K funds should cover 90% of the total costs for all projects in that category, and Prop K should cover only 10%.

<sup>4</sup> "Actual Leveraging by Project Phase" is calculated by dividing the total non-Prop K or non-Prop AA funds in the funding plan by the total cost for the requested phase or phases. If the percentage in the "Actual Leveraging" column is lower than in the "Expected Leveraging" column, the request (indicated by yellow highlighting) is leveraging fewer non-Prop K dollars than assumed in the Expenditure Plan. A project that is well leveraged overall may have lower-than-expected leveraging for an individual or partial phase.

Attachment 2: Brief Project Descriptions<sup>1</sup>

EP Line No./ Category	Project Sponsor	Project Name	Prop K/AA Funds Requested	Project Description
34	SFPW	Filbert & Leavenworth Streets Pavement Renovation	3,479,324	Requested funds will be used for the construction phase of the paving portion of the Joint-Sewer Lead-Filbert Street and Leavenworth Street Pavement Renovation project. The scope includes paving, concrete base repairs, curb ramp construction, sidewalk and curb repairs at various locations, and traffic routing. Approximately 106 curb ramps will be constructed and 25 blocks (2.2 miles) will be paved. Construction is anticipated to start in summer 2017 and be completed by December 2018.
38, 40	SFMTA	Wiggle Neighborhood Green Corridor	797,000	Funds are for construction of bicycle, pedestrian, and traffic calming improvements along the residential portion of the Wiggle bicycle route between the Church/Duboce and Fell/Scott intersections. Improvements include a bike signal, bulb-outs, raised crosswalks, roadway markings, and a traffic diverter. Construction will be coordinated with the San Francisco Public Utilities Commission project to add rain gardens and permeable paving along the corridor. Construction is expected to begin in spring 2017, with the project open for use by June 2018.
40	SFPW	Bayshore Blvd/Cesar Chavez St/Potrero Ave Intersection Improvements (The Hairball) [NTIP Capital]	80,000	This project was recommended in the SFMTA's Bayshore Boulevard/Cesar Chavez Street/Potrero Avenue Intersection (the Hairball): Key Segment Improvements report, which was also funded through the Neighborhood Transportation Improvement Program (NTIP). NTIP funds will be used for detailed design of improvements to segments F/G at the western entrance of the Hairball adjacent to westbound Cesar Chavez Street. The project will create a safer, wider, and regraded bicycle and pedestrian path that provides adequate clearance at the highway overpass and minimizes conflicts between users. Design is expected to be completed by fall 2017.



**Attachment 2: Brief Project Descriptions**<sup>1</sup>

EP Line No./ Category	Project Sponsor	Project Name	Prop K/AA Funds Requested	Project Description
44	SFMTA	District 11 Neighborhood Greenways	100,000	Requested funds will leverage a \$300,000 Caltrans Sustainable Transportation Planning grant for an extensive community planning process for the San Francisco Green Connections Network and Bicycle Strategy for three key corridors in under-served and lower income neighborhoods: Green Connections Routes Cayuga/Alemany; Persia/Brazil/Russia; and Naples-Brunswick. The planning process will develop “neighborhood greenway” designs that improve the livability and vitality of local streets, while providing better non-motorized links to local and regional transit, employment, education, recreation/open space, and health services. Planning is anticipated to be completed by fall 2018.
Street Repair & Reconstruction	SFPW	Brannan Street Pavement Renovation	2,540,359	Requested funds are for the construction phase of pavement renovation on 21 blocks (1.54 miles) of Brannan Street from The Embarcadero to the 10th Street/ Division Street/ Potrero Avenue intersection. Work includes repairs to the roadway's concrete base, repaving, construction of approximately 52 curb ramps, and sidewalk and curb repairs at various locations. Construction is expected to begin in summer 2017, with the project open for use by December 2018.
<b>TOTAL</b>			<b>\$ 6,996,683</b>	

<sup>1</sup> See Attachment 1 for footnotes.

Attachment 3: Staff Recommendations <sup>1</sup>

EP Line No./ Category	Project Sponsor	Project Name	Prop K/AA Funds Recommended	Recommendation
34	SFPW	Filbert & Leavenworth Streets Pavement Renovation	\$ 3,479,324	<b>5-Year Prioritization Program (5YPP) Amendment:</b> The recommended allocation is contingent upon a concurrent amendment of the Street Resurfacing 5YPP to add the subject project with funding reprogrammed from the Gilman Ave and Jerrold Ave Pavement Renovation project. Prop K funds are no longer needed for that project because the scope will be funded by other sources. See attached 5YPP amendment for details.
38, 40	SFMTA	Wiggle Neighborhood Green Corridor	\$ 797,000	<b>5YPP Amendments:</b> The recommended allocation is contingent upon concurrent amendments of the Pedestrian Circulation/Safety and Traffic Calming 5YPPs to add the subject project with \$572,100 from the 6th Street Improvements project, which is currently in the environmental phase with design and construction fully funded with Prop A General Obligation Bond funds, and \$224,900 from the Proactive Residential Traffic Calming Improvements placeholder, which has sufficient funding available in FY 16/17 (\$1.78 million) to advance priority projects. See attached 5YPP amendments for details.  Contrary to Prop K policy that prohibits the advertisement of services or contracts to be funded by Prop K prior to allocation of funds by the Transportation Authority Board, the SFMTA advertised the project's construction contract in November 2016. We have reminded the SFMTA of this policy and advised SFMTA that it should not presume a positive Board action or that the Board may not modify the funding request.
40	SFPW	Bayshore Blvd/Cesar Chavez St/Potrero Ave Intersection Improvements (The Hairball) [NTIP Capital]	\$ 80,000	<b>Commitment to Allocate:</b> The recommendation includes a commitment to allocate \$320,000 in NTIP capital funds to the construction phase of the project upon completion of the design phase (anticipated fall 2017). The \$400,000 in NTIP funding for the project (subject request (\$80,000) plus commitment to allocate (\$320,000)) will be split 50/50 between the NTIP capital funds available for Districts 9 and 10.
44	SFMTA	District 11 Neighborhood Greenways	\$ 100,000	<b>5YPP Amendment:</b> The recommended allocation is contingent upon a concurrent, cost-neutral amendment of Transportation/ Land Use 5YPP, to swap \$50,000 in FY 16/17 OBAG Local Match (Cycle 2) funds for \$50,000 in FY 17/18 Planning Grant Match (e.g. Caltrans Planning Grant) funds, effectively advancing Planning Grant Match funds to fully fund the subject request in FY 16/17. See attached 5YPP amendment for details.
Street Repair & Reconstruction	SFPW	Brannan Street Pavement Renovation	\$ 2,540,359	<b>Prop AA Strategic Plan Amendment:</b> The recommended allocation is contingent upon a concurrent amendment of the Street Repair and Reconstruction category of the Prop AA Strategic Plan to program \$330,359 in Prop AA funds deobligated from projects completed under budget, to the subject project. See attached Strategic Plan for details.
<b>TOTAL \$</b>			<b>6,996,683</b>	

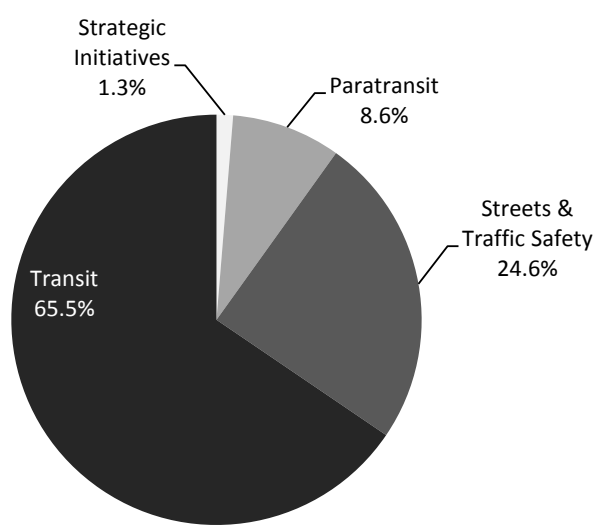
<sup>1</sup> See Attachment 1 for footnotes.

**Attachment 4.  
Prop K/Prop AA Allocation Summary - FY 2016/17**

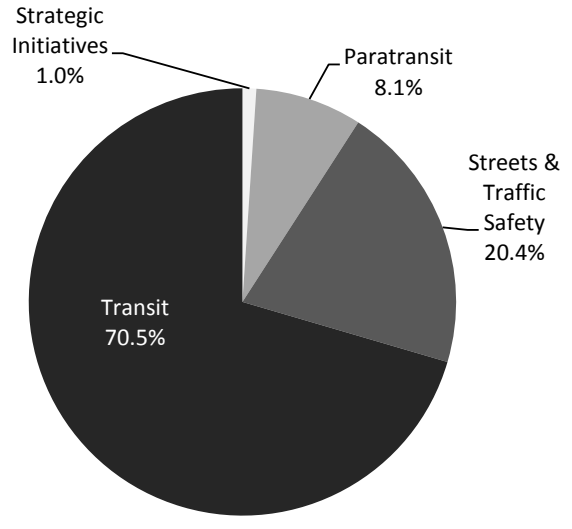
<b>PROP K SALES TAX</b>						
		<b>CASH FLOW</b>				
	<b>Total</b>	<b>FY 2016/17</b>	<b>FY 2017/18</b>	<b>FY 2018/19</b>	<b>FY 2019/20</b>	<b>FY 2020/21</b>
Prior Allocations	\$ 88,734,869	\$ 44,099,551	\$ 31,752,768	\$ 12,437,450	\$ 445,100	\$ -
Current Request(s)	\$ 4,456,324	\$ 388,500	\$ 3,197,993	\$ 869,831	\$ -	\$ -
New Total Allocations	\$ 93,191,193	\$ 44,488,051	\$ 34,950,761	\$ 13,307,281	\$ 445,100	\$ -

The above table shows maximum annual cash flow for all FY 2016/17 allocations approved to date, along with the current recommended allocation(s).

**Investment Commitments, per Prop K Expenditure Plan**



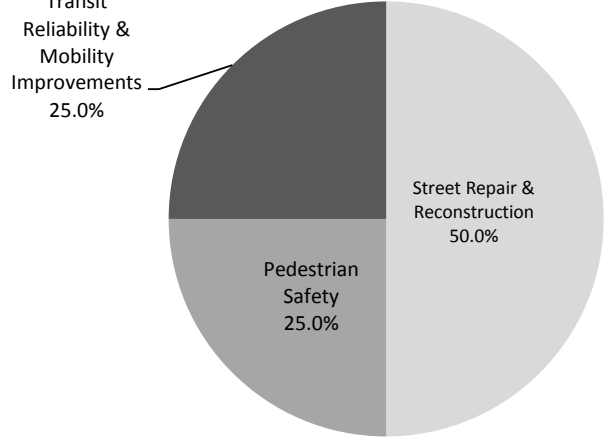
**Prop K Investments To Date**



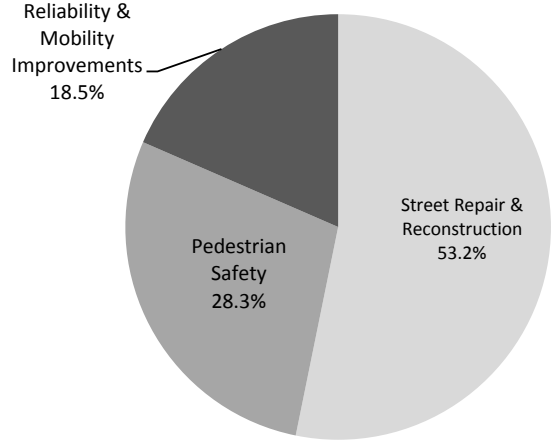
<b>PROP AA VEHICLE REGISTRATION FEE</b>						
	<b>Total</b>	<b>FY 2016/17</b>	<b>FY 2017/18</b>	<b>FY 2018/19</b>	<b>FY 2019/20</b>	<b>FY 2020/21</b>
Prior Allocations	\$ 141,794	\$ 141,794	\$ -	\$ -	\$ -	\$ -
Current Request(s)	\$ 2,540,359	\$ -	\$ 1,693,573	\$ 846,786	\$ -	\$ -
New Total Allocations	\$ 2,682,153	\$ 141,794	\$ 1,693,573	\$ 846,786	\$ -	\$ -

The above table shows maximum cash flow for all FY 2016/17 allocations approved to date, along with the current recommended allocation(s).

**Investment Commitments, per Prop AA Expenditure Plan**



**Prop AA Investments To Date**





# Memorandum

**Date:** 02.07.17 **RE:** Plans and Programs Committee  
February 14, 2017

**To:** Plans and Programs Committee: Commissioners Tang (Chair), Farrell (Vice Chair), Breed, Safai, Sheehy and Peskin (Ex Officio)

**From:** Anna LaForte – Deputy Director for Policy and Programming *all*

**Through:** Tilly Chang – Executive Director *TJC*

**Subject:** **ACTION** – Recommend Allocation of \$4,456,324 in Prop K Funds and \$2,540,359 in Prop AA Funds, with Conditions, for Five Requests, Subject to the Attached Fiscal Year Cash Flow Distribution Schedules

## Summary

As summarized in Attachments 1 and 2, we have five requests totaling \$6,996,683 in Prop K and Prop AA funds to present to the Plans and Programs Committee. The San Francisco Municipal Transportation Agency (SFMTA) has requested Prop K funds for two projects: \$797,000 for the construction phase of bicycle, pedestrian, and traffic calming improvements along the residential portion of the Wiggle bicycle route between the Church/Duboce and Fell/Scott intersections; and \$100,000 to leverage a \$300,000 Caltrans Planning Grant for an extensive community planning process to develop neighborhood greenway designs along three key corridors in District 11. San Francisco Public Works (SFPW) has requested \$80,000 in Prop K funds to design pathways to help bicyclists and pedestrians safely navigate the western entrance to the Bayshore Boulevard/Cesar Chavez Street/Potrero Avenue intersection (The Hairball). SFPW has also requested funds for two pavement renovation projects: \$3,479,324 in Prop K funds for the construction phase of the Filbert & Leavenworth Streets Pavement Renovation project, and \$2,540,359 in Prop AA funds for pavement renovation on Brannan Street from The Embarcadero to 10th Street/Division Street/Potrero Avenue intersection.

## BACKGROUND

We have received five requests for a total of \$4,456,324 in Prop K funds and \$2,540,359 in Prop AA Funds to present to the Plans and Programs Committee at its February 14, 2017 meeting, for potential Board approval on February 28, 2017. As shown in Attachment 1, the requests come from the following Prop K and Prop AA categories:

- Prop K Street Resurfacing, Rehabilitation, and Maintenance
- Prop K Traffic calming
- Prop K Pedestrian Circulation/Safety
- Prop K Transportation / Land use Coordination
- Prop AA Street Repair & Reconstruction

Transportation Authority Board adoption of a 5-Year Prioritization Program (5YPP) for Prop K and Prop AA programmatic categories is a prerequisite for allocation of funds from these categories.

## DISCUSSION

The purpose of this memorandum is to present four Prop K requests totaling \$4,456,324 and one Prop AA request totaling \$2,540,359 to the Plans and Programs Committee and to seek a recommendation to allocate the funds as requested. Attachment 1 summarizes the five requests, including information on proposed leveraging (i.e. stretching Prop K dollars further by matching them with other fund sources) compared with the leveraging assumptions in the Prop K Expenditure Plan. Attachment 2 provides a brief description of each project. A detailed scope, schedule, budget and funding plan for each project are included in the enclosed Allocation Request Forms.

Staff Recommendation: Attachment 3 summarizes the staff recommendations for the requests, highlighting special conditions and other items of interest.

Transportation Authority staff and project sponsors will attend the Plans and Programs Committee meeting to provide brief presentations on some of the specific requests and to respond to any questions that the Committee may have.

## ALTERNATIVES

1. Recommend allocation of \$4,456,324 in Prop K funds and \$2,540,359 in Prop AA funds, with conditions, for five requests, subject to the attached Fiscal Year Cash Flow Distribution Schedules, as requested.
2. Recommend allocation of \$4,456,324 in Prop K funds and \$2,540,359 in Prop AA funds, with conditions, for five requests, subject to the attached Fiscal Year Cash Flow Distribution Schedules, with modifications.
3. Defer action, pending additional information or further staff analysis.

## CAC POSITION

The CAC was briefed on this item at its January 25, 2017 meeting and unanimously adopted a motion of support for the staff recommendation. Since then, the staff recommendation for the Wiggle Neighborhood Green Corridor has been revised from \$647,000 to \$797,000 in Prop K funds to reflect the San Francisco Municipal Transportation Agency's (SFMTA's) additional \$150,000 request to cover the higher-than-anticipated construction bid and associated contingency. The SFMTA attributes the increase in bid prices to the rising demand for construction services in San Francisco, as well as the project's green infrastructure that limited the competition to contractors with specialized training and expertise.

## FINANCIAL IMPACTS

This action would allocate \$4,456,324 in Fiscal Year (FY) 2016/17 Prop K sales tax funds, with conditions, and \$2,540,359 in FY 2016/17 Prop AA funds, with conditions, for five requests. The allocations would be subject to the Fiscal Year Cash Flow Distribution Schedules contained in the enclosed Allocation Request Forms.

Attachment 4, Prop K/Prop AA Allocation Summary - FY 2016/17, shows the total approved FY 2016/17 allocations and appropriations to date, with associated annual cash flow commitments as well as the recommended allocations and cash flows that are the subject of this memorandum.

Sufficient funds are included in the proposed FY 2016/17 budget to accommodate the recommended actions. Furthermore, sufficient funds will be included in future budgets to cover the recommended

cash flow distribution for those respective fiscal years.

#### RECOMMENDATION

Recommend allocation of \$4,456,324 in Prop K funds and \$2,540,359 in Prop AA funds, with conditions, for five requests, subject to the attached Fiscal Year Cash Flow Distribution Schedules.

Attachments (4):

1. Summary of Applications Received
2. Project Descriptions
3. Staff Recommendations
4. Prop K/Prop AA Allocation Summary – FY 2016/17

Enclosure:

1. Prop K/Prop AA Allocation Request Forms (5)

RESOLUTION ADOPTING THE LOCAL EXPENDITURE CRITERIA FOR EVALUATION OF FUNDING APPLICATIONS FOR THE FISCAL YEAR 2017/18 TRANSPORTATION FUND FOR CLEAN AIR PROGRAM

WHEREAS, The Transportation Authority is the designated Program Manager for the Transportation Fund for Clean Air (TFCA) Program; and

WHEREAS, The passage of Assembly Bill 434 required that the designated Program Manager annually adopt criteria establishing a set of priorities for expenditure of funds for certain types of projects; and

WHEREAS, At its January 25, 2017 meeting, the Citizens Advisory Committee was briefed on the subject request and unanimously adopted a motion of support for the staff recommendation; and

WHEREAS, At its February 14, 2017 meeting, the Plans and Programs Committee reviewed and unanimously recommended adoption of the staff recommendation; now, therefore, be it

RESOLVED, That the Transportation Authority adopts the attached FY 2017/18 TFCA Local Expenditure Criteria for evaluation of funding applications for the TFCA Program; and be it further

RESOLVED, That the Executive Director is hereby authorized to communicate this information to all relevant agencies and interested parties.

Attachments (2):

1. FY 2017/18 TFCA Local Expenditure Criteria
2. County Program Manager Fund Expenditure Plan Guidance – FY Ending 2018



## Attachment 1

### Fiscal Year 2017/18 Transportation Fund for Clean Air (TFCA)

#### DRAFT LOCAL EXPENDITURE CRITERIA

The following are the Fiscal Year 2017/18 Local Expenditure Criteria for San Francisco's TFCA County Program Manager Funds.

#### ELIGIBILITY SCREENING

In order for projects to be considered for funding, they must meet the eligibility requirements established by the Air District's TFCA County Program Manager Fund Policies for Fiscal Year 2017/18. Consistent with the policies, a key factor in determining eligibility is a project's cost effectiveness (CE) ratio. The TFCA CE ratio is designed to measure the cost effectiveness of a project in reducing motor vehicle air pollutant emissions and to encourage projects that contribute funding from non-TFCA sources. TFCA funds budgeted for the project are divided by the project's estimated emissions reduction. The estimated reduction is the weighted sum of reactive organic gases (ROG), oxides of nitrogen (NO<sub>x</sub>), and particulate matter (PM) emissions that will be reduced over the effective life of the project, as defined by the Air District's guidelines.

TFCA CE is calculated by inputting information provided by the applicant into the Air District's CE worksheets. Transportation Authority staff will be available to assist project sponsors with these calculations, and will work with Air District staff and the project sponsors as needed to verify reasonableness of input variables. The worksheets also calculate reductions in carbon dioxide (CO<sub>2</sub>) emissions, which are not included in the Air District's official CE calculations, but which the Transportation Authority considers in its project prioritization process.

**Consistent with the Air District's Guidelines, in order to be eligible for Fiscal Year 2017/18 TFCA funds, a project must meet the CE ratio for emissions (i.e., ROG, NO<sub>x</sub>, and PM) reductions as specified in the guidelines for each project type. Projects that do not meet the appropriate CE threshold cannot be considered for funding.**

#### PROJECT PRIORITIZATION

Candidate projects that meet the cost effectiveness thresholds will be prioritized for funding based on the two-step process described below:

Step 1 - TFCA funds are programmed to eligible projects, as prioritized using the Transportation Authority Board-adopted Local Priorities (see next page).

Step 2 - If there are TFCA funds left unprogrammed after Step 1, the Transportation Authority will work with project sponsors to develop additional TFCA candidate projects. This may include refinement of projects that were submitted for Step 1, but were not deemed eligible, as well as new projects. This approach is in response to an Air District policy that does not allow County Program Managers to rollover any unprogrammed funds to the next year's funding cycle. If Fiscal Year 2017/18 funds are not programmed by November 2017, funds can be redirected (potentially to non-San Francisco projects) at the Air District's discretion. New candidate projects must meet all of the TFCA



eligibility requirements, and will be prioritized based on the Transportation Authority Board's adopted Local Priorities.

#### Local Priorities

The Transportation Authority's Local Priorities for prioritizing TFCA funds include the following factors:

#### **Project Type** – In order of priority:

- 1) Zero emissions non-vehicle projects including, but not limited to, bicycle and pedestrian facility improvements, transit priority projects, traffic calming projects, and transportation demand management projects;
- 2) Shuttle services that reduce vehicle miles traveled (VMT);
- 3) Alternative fuel vehicles and alternative fuel infrastructure; and
- 4) Any other eligible project.

**Emissions Reduced and Cost Effectiveness** – Priority will be given to projects that achieve high CE (i.e. a low cost per ton of emissions reduced) compared to other applicant projects. The Air District's CE worksheet predicts the amount of reductions each project will achieve in ROG, NO<sub>x</sub>, PM, and CO<sub>2</sub> emissions. However, the Air District's calculation only includes the reductions in ROG, NO<sub>x</sub>, and PM per TFCA dollar spent on the project. The Transportation Authority will also give priority to projects that achieve high CE for CO<sub>2</sub> emission reductions based on data available from the Air District's CE worksheets. The reduction of transportation-related CO<sub>2</sub> emissions is consistent with the City and County of San Francisco's 2013 *Climate Action Strategy*.

**Project Delivery** – Priority will be given to projects that are ready to proceed and have a realistic implementation schedule, budget, and funding package. Projects that cannot realistically commence in calendar year 2018 or earlier (e.g. to order or accept delivery of vehicles or equipment, begin delivery of service, award a construction contract, start the first TFCA-funded phase of the project) and be completed within a two-year period will have lower priority. Project sponsors may be advised to resubmit these projects for a future TFCA programming cycle.

**Program Diversity** – Promotion of innovative TFCA projects in San Francisco has resulted in increased visibility for the program and offered a good testing ground for new approaches to reducing motor vehicle emissions. Using the project type criteria established above, the Transportation Authority will continue to develop an annual program that contains a diversity of project types and approaches and serves multiple constituencies. The Transportation Authority believes that this diversity contributes significantly to public acceptance of and support for the TFCA program.

**Other Considerations** – Projects that are ranked high in accordance with the above local expenditure criteria may be lowered in priority or restricted from receiving TFCA funds if either of the following conditions applies or has applied during Fiscal Years 2015/16 or 2016/17:

- **Monitoring and Reporting** – Project sponsor has failed to fulfill monitoring and reporting requirements for any previously funded TFCA project.
- **Implementation of Prior Project(s)** – Project sponsor has a signed Funding Agreement for a TFCA project that has not shown sufficient progress; the project sponsor has not implemented the project by the project completion date without formally receiving a time extension from the Transportation Authority; or the project sponsor has violated the terms of the funding agreement.



BAY AREA  
AIR QUALITY  
MANAGEMENT  
DISTRICT

# County Program Manager Fund Expenditure Plan Guidance For Fiscal Year Ending 201~~8~~7

## Transportation Fund for Clean Air



Bay Area Air Quality Management District

375 Beale Street, Suite 600 San Francisco, CA 94105

Adopted ~~November~~ ~~December~~ ~~716~~ ~~December~~ ~~523~~, 201~~6~~5

*Revised: May 18, 2016***TABLE OF CONTENTS**

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## *Changes from Fiscal Year Ending (FYE) ~~2016-2017~~ to FYE ~~2017~~2018*

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

- Streamlined and improved wording to clarify and to ensure adherence to state statute;
- Aligned with FYE 2017 TFCA Regional Fund Policies as follows:
  - Increased the cost-effectiveness limit for shuttle projects
  - Revised policy language for *Alternative Fuel Light-Duty Vehicles* and *Alternative Fuel Heavy-Duty Vehicles and Buses* categories;
- Added *On-Road Goods Movement Truck Replacements* as an eligible category for the replacements of diesel-power trucks that are used for goods movement;
- Allowed upgrades to an existing bicycle facility when converting from a Class-2 or Class-3 to a Class-1 or Class-4 bike facility; and
- Relaxed requirements for bike share projects.

## *Reporting Schedule for FYE 201~~8~~7*

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

- March 3, 201~~7~~6 - Expenditure Plan application for FYE 201~~8~~7** - The application must include:
  - Summary Information Form, signed and dated by County Program Manager's Executive Director
  - Summary Information Addendum Form (if applicable)
- Within 6 months of Air District Board of Director's approval of allocation, and within 3 months for projects that do not conform to all TFCA Polices:**

For each project:

  - Project Information Form (sample can be found in Appendix G)
  - Cost-effectiveness Worksheet (instructions can found in Appendix H)
- Every May 31** (See Page [8-9](#))
  - **Funding Status Report Form** – Include all open projects and projects closed since July 1.
  - **Final Report Form** – For projects closed July 1-December 31 (and optionally those closing later), submit both a Final Report Form and a final Cost-effectiveness Worksheet.
- Every October 31** (See Page [8-9](#))
  - **Interim Project Report Form** – Submit this form for every open project.

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

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

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

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### **Introduction**

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

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

### **The TFCA Program**

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

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

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

Forty percent (40%) of these funds are allocated to a designated county program manager within each of the nine counties within the Air District's jurisdiction. This allocation is referred to as the TFCA County Program Manager Fund. The remaining sixty percent (60%) of these funds are directed to Air District-sponsored programs and to Air District-administered TFCA Regional Fund.

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

## Eligible TFCA Project Types

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

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

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

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

## *TFCA County Program Manager Fund*

### **Roles and Responsibilities**

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

- 1. Administer funding in accordance with applicable legislation, including HSC Sections 44233, 44241, and 44242, and with Air District Board-Adopted TFCA County Program Manager Fund Policies for FYE 2017 (found in Appendix D).
- 2. Hold one or more public meetings each year
  - ◊a. to adopt criteria for the expenditure of the funds if those criteria have been modified in any way from the previous year (criteria must include the Air District Board-Approved TFCA County Program Manager Fund Policies)<sup>1</sup>, and
  - ◊b. to review the expenditure of revenues received.
- 3. Prepare and submit Expenditure Plan Applications, Project Information Forms, Cost-effectiveness Worksheets, Funding Status Reports, Interim Project Reports, and Final Reports.
- 4. Provide funds only to projects that comply with the Air District Board-Approved Policies and/or have received Air District Board of Director's approval for award.
- 5. Encumber and expend funds within two years of the receipt of funds, unless an application for funds states that the project will take a longer period of time to implement and an extension is approved by the Air District or the County Program Manager, or unless the time is subsequently extended if the recipient requests an extension and the County Program Manager finds that significant progress has been made on the project.
- 6. Limit administrative costs in handling of TFCA funds to no more than ~~five~~ 6.25(5) percent of the funds received.
- 7. Allocate (program) all new TFCA funds within six months of the date of the Air District Board of Director's approval of the Expenditure Plan.
- 8. Provide information to the Air District and to auditors on the expenditures of TFCA funds.

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

- 1. Hold a public hearing to:
  - ◊a. Adopt cost-effectiveness criteria that projects and programs are required to meet. Criteria shall maximize emission reductions and public health benefits; and
  - ◊b. Allocate County Program share of DMV fee revenues.
- 2. Provide guidance, offer technical support, and hold workshops on program requirements, including cost-effectiveness.
- 3. Review Expenditure Plan Applications, Cost-effectiveness Worksheets, Project Information Forms, Funding Status Reports, Interim Project Reports and Final Reports.
- 4. Re-distribute unallocated TFCA funds from the County Program Manager Fund.
- 5. Limit TFCA administrative costs to a maximum of 6.25five percent ~~(5%)~~.

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

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

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

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

### **Attributes of Project Readiness**

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Projects must meet Readiness Policy (Policy #6). Beginning in FYE 2017, the Air District and the County Program Managers are directed to enforce the two-year time limit for bicycle projects (i.e., any projects under Policy # 29), the County Program Managers should cancel any projects that are not completed within the two-year time limit, and the Air District will not consider any extension requests for bicycle projects that have already been granted a two-year extension from the County Program Manager.<sup>2</sup> For all other project categories, County Program Managers may grant a two-year extension, for a total of four years to implement projects.

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



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

1. ~~●~~ Planning (drawings)
2. ~~●~~ Obtaining permits
3. ~~●~~ Conducting environmental review/approvals.

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

## Program Schedule

**Program Schedule for the FYE 201~~87~~ Cycle** (*County Program Manager deadlines are italicized*)

<del>December</del> <i>December 7<del>14</del>, 2015</i> <del>2016</del> ( <i>tentative</i> )	<i>Expenditure Plan Application Guidance issued by Air District, including funding estimates</i>
<del>March</del> <i>March 3, 2017</i> <del>6</del>	<i>Deadline for County Program Managers to submit Expenditure Plan application</i>
<del>April 27</del> <i>May 5, 2017</i> ( <i>tentative</i> ) <del>6</del>	<i>Proposed Expenditure Plan funding allocations reviewed by Air District Mobile Source Committee</i>
<del>May 31</del> <i>May 5, 2017</i> ( <i>tentative</i> ) <del>6</del>	<i>Expenditure Plan funding allocations considered for approval by Air District Board of Directors</i>
<del>May 12</del> <i>May 24, 2017</i> ( <i>tentative</i> ) <del>6</del>	<i>Air District provides Funding Agreements for funding allocations to County Program Managers for signature (<del>tentative</del>)</i>
<del>May 31, 2017</del> <del>6</del>	<i>Funding Status Report and Final Reports due for projects from FYE 201<del>67</del> and prior years</i>
<del>August 18</del> <i>August 31, 2017</i> <del>6</del>	<i>Deadline: Within three months of Board approval, County Program Manager submits request for Air District approval of any projects that do not conform to TFCA policies</i>
<del>October</del> <i>October 31, 2017</i> <del>6</del>	<i>Funding Status Report, Interim Project Reports, and Final Reports due for projects from FYE 201<del>76</del> and prior years</i>
<del>November 18</del> <i>November 31, 2017</i> <del>6</del>	<i>Deadline: Within six months of Board approval, County Program Manager provides Cost-effectiveness Worksheets and Project Information Forms for new projects and programming</i>
<del>May 31, 2018</del> <del>7</del>	<i>Funding Status Report and Final Reports due for projects from FYE 201<del>87</del> and prior years</i>

## Expenditure Plan Application Process

~~By December 14, 2015~~ ~~2016~~ (*tentative*), the Air District will email provide County Program Managers the Summary Information Form and Summary Information - Addendum Form (i.e., the Expenditure Plan application materials). These forms must be completed by the County Program Manager and returned to the Air District as indicated below. See Appendix B for examples of these forms.

Expenditure Plans ~~are due Thursday~~ ~~Friday, March 3, 2016~~ ~~2017~~ and ~~must be~~ must be submitted both electronically via email to [lhui@baaqmd.gov](mailto:lhui@baaqmd.gov) and as a hard copy by mail or delivery service to:

Chengfeng Wang, Strategic Incentives Division  
 Bay Area Air Quality Management District  
 Strategic Incentives Division  
~~939 Ellis Street~~  
~~San Francisco, CA 94109~~ ~~375 Beale Street, Suite 600~~  
~~San Francisco, CA 94105~~

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

## Programming of Funds

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

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

## Project Information and Reporting Forms

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The following Air District-approved forms will be emailed to the County Program Managers or posted on either the Air District's website at: [www.baaqmd.gov/tfca4pm](http://www.baaqmd.gov/tfca4pm) or another online platform.

➤ **Cost-effectiveness Worksheet (due within 6 months of Air District Board approval of Expenditure Plan, and for FYE 201~~6~~7 and prior year projects, with the Final Report; see Appendix H)**

The purpose of the Cost-effectiveness Worksheet is to calculate estimated (pre-project) and realized (post-project) emissions reduced for each project, and compare the emissions reductions to the TFCA funds invested. County Program Managers must submit a worksheet for each new project and must ensure that the TFCA cost-effectiveness is equal to or less than the TFCA funds per ton of emissions reduced (i.e., reactive organic gases (ROG), oxides of nitrogen (NO<sub>x</sub>) and weighted particulate matter less than 10 microns in diameter (PM<sub>10</sub>)), **as specified in Policy #2.**

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

1. ➤ **For projects that provide a service** (e.g., ridesharing, shuttle, bike share projects), post-project evaluations should be completed using the Cost-Effectiveness Worksheet version from the **year of the project's start date** (which may be the same as the pre-application Cost-effectiveness Worksheet).
2. ➤ **For all other projects**, post-project evaluations should be completed using the **most recent version** of the Cost-effectiveness Worksheet for the year the project was completed.

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

1. ➤ Cost-effectiveness worksheets must be submitted in a Microsoft Excel spreadsheet with the filename structure listed below.

1.0 [Last two digits of FYE][abbreviated county code][sequential project number]\_CE-Submitted-[Project Name].xlsx

2.0 Example: 17SC1218SC12\_CE-Submitted-SanJoseZeroEmissionShuttle.xlsx

➤ **Project Information Form (due within 6 months of Air District Board approval of Expenditure Plan; see Appendix G)**

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

1.➤ Information Forms must be submitted in a Microsoft Word document with the filename structure listed below.

1.0 [Last two digits of FYE][abbreviated county code][sequential project number]\_ProjInfo-[Project Name].docx

2.0 Example: 187SC12\_ProjInfo-SanJoseZeroEmissionShuttle.docx

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

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

1.➤ **Final Report Form (due October 31 and May 31; tentatively available August 20162017)**

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

1.➤ **Due October 31:** *Projects that closed Jan 1–Jun 30 (and optionally those closing later)*

2.➤ **Due May 31:** *Projects that closed Jul 1–Dec 31 (and optionally those closing later)*

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

2.➤ **Annual Interim Project Report Form (due October 31; tentatively available August 20176)**

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

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

## Additional Information

### Workshops, Support, and Assistance

Air District staff is available to assist with TFCA project cost-effectiveness analysis, workshops for Grantees, and outreach for TFCA projects. County Program Managers are urged to consult with Air District staff when evaluating complex projects (such as bike share, vehicle, and vehicle infrastructure projects requiring the evaluation of emission reductions beyond those required by regulations) or when using cost-effectiveness

assumptions other than those provided by the Air District in this Guidance. Consulting with the Air District prior to awarding funds minimizes the potential ~~offer~~ both funding projects that are not eligible for TFCA funds and awarding more funding to a project than it is eligible for. Please contact us and let us know how we can assist you.

**Air District Contact**

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

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

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

### **Project Implementation Costs**

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

- ~~1.~~ Documented hourly labor charges (salaries, wages, and benefits) directly and solely related to implementation of the TFCA project;
- ~~2.~~ Capital equipment and installation costs;
- ~~3.~~ Shuttle driver labor and equipment maintenance costs;
- ~~4.~~ Contractor labor charges related to the TFCA project;
- ~~5.~~ Travel, training, and associated personnel costs that are directly related to the implementation of the TFCA-funded project (e.g., the cost of training mechanics to service TFCA-funded natural gas clean air vehicles); and
- ~~6.~~ Indirect costs associated with implementing the project, including reasonable overhead costs incurred to provide a physical place of work (e.g., rent, utilities, office supplies), general support services (e.g., payroll, reproduction), and managerial oversight.

### **Administrative Project Costs**

Administrative project costs are costs associated with the administration of a TFCA project, and do not include project capital or operating costs, as discussed above. Administrative project costs that are reimbursable to a Grantee are limited to a maximum of ~~6.25~~five percent (5%) of the total TFCA funds received.

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

- ~~1.~~ Costs associated with administering the TFCA Funding Agreement (e.g., responding to requests for information from Air District and processing amendments). Note that costs incurred in the preparation of a TFCA application or costs incurred prior to the execution of the Funding Agreement are not eligible for reimbursement;
- ~~1.~~ Accounting for TFCA funds; ~~and~~
- Fulfilling all monitoring, reporting, and record-keeping requirements specified in the TFCA Funding Agreement, including the preparation of reports, invoices, and final reports; ~~and~~
- ~~2.~~ Documented indirect administrative costs associated with administering the project, including reasonable overhead costs of utilities, office supplies, reproduction and managerial oversight.

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

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

## Appendix B: Sample Expenditure Plan Application

### SUMMARY INFORMATION

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

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

#### PART A: NEW TFCA FUNDS

1. Estimated FYE ~~2017-2018~~ DMV revenues (based on projected ~~CY2015-CY2016~~ revenues): Line 1: \_\_\_\_\_
2. Difference between prior-year estimate and actual revenue: Line 2: \_\_\_\_\_
  - a. Actual FYE ~~2015-2016~~ DMV revenues (based on ~~CY2014CY2015~~): \_\_\_\_\_
  - b. Estimated FYE ~~2015-2016~~ DMV revenues ~~(based on CY2014CY2015)~~: \_\_\_\_\_

(*'a' minus 'b' equals Line 2.*)
3. Estimated New Allocation (*Sum of Lines 1 and 2*): Line 3: \_\_\_\_\_
4. Interest income. List interest earned on TFCA funds in calendar year ~~20152016~~. Line 4: \_\_\_\_\_
5. Estimated TFCA funds budgeted for administration:<sup>1</sup> Line 5: \_\_\_\_\_  
(*Note: This amount may not exceed 6.25% of Line 3.*)
6. Total new TFCA funds available in FYE ~~2017-2018~~ for projects and administration Line 6: \_\_\_\_\_  
(*Add Lines 3 and 4. These funds are subject to the six-month allocation deadline.*)

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

7. Total amount from previously funded projects available for reprogramming to other projects. (*Enter zero (0) if none.*) Line 7: \_\_\_\_\_  
(*Note: Reprogrammed funds originating from pre-2006 projects are not subject to the six-month allocation deadline.*)

#### PART C: TOTAL AVAILABLE TFCA FUNDS

<sup>1</sup> The "Estimated TFCA funds budgeted for administration" amount is listed for informational purposes only. Per California Health and Safety Code Section 44233, County Program Managers must limit their administrative costs to no more than 6.25% of the actual total revenue received from the Air District.

**8. Total Available TFCA Funds** (*Sum of Lines 6 and 7*) **Line 8:** \_\_\_\_\_

9. Estimated Total TFCA funds available for projects (*Line 8 minus Line 5*) **Line 9:** \_\_\_\_\_

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

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

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





County Program Manager Fund Expenditure Plan Guidance FYE 201~~8~~7  
*(Enter this amount in Part B, Line 7 of Summary Information form)*

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



## Appendix D: Board-Adopted TFCA County Program Manager Fund Policies for FYE 20178

Adopted November 186, 20165

The following Policies apply ~~only~~ to the [Bay Area Air Quality Management District's \(Air District\) Transportation Fund for Clean Air \(TFCA\) County Program Manager Fund](#) [for fiscal year ending \(FYE\) 2018](#).

### BASIC ELIGIBILITY

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

Projects must conform to the provisions of the California Health and Safety Code (HSC) sections 44220 et seq. and these Air District Board of Directors adopted TFCA County Program Manager Fund Policies for FYE 20178.

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

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

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

**Table 1: Maximum Cost-Effectiveness for FYE 20178 County Program Manager Fund Projects**

Policy No.	Project Category	Maximum C-E (\$/weighted ton)
22	Alternative Fuel Light-Duty Vehicles	250,000
23	Reserved	Reserved
24	Alternative Fuel Heavy-Duty Vehicles and Buses	250,000
25	<del>Alternative Fuel Bus Replacement</del> <a href="#">On-Road Goods Movement Truck Replacements</a>	<del>250,000</del> <a href="#">90,000</a>
26	Alternative Fuel Infrastructure	250,000
27	Ridesharing Projects	150,000
28.a.-h.	Shuttle/Feeder Bus Service – Existing	200,000; 250,000 for services in CARE Areas or PDAs

28.i.	Shuttle/Feeder Bus Service - Pilot	Year 1 - 250,000 Year 2 -- see Policy #28.a-h.175,000
28.i.	Shuttle/Feeder Bus Service – Pilot in CARE Areas or PDAs	Years 1 & 2 - 500,000 Year 2--200,000 Year 3 - see Policy #28.a-h.175,000
29	Bicycle Projects	250,000
30	<del>Bay Area</del> Bike Share	500,000
31	Arterial Management	175,000
32	Smart Growth/Traffic Calming	175,000

**6.3. Eligible Projects and Case-by-Case Approval:** Eligible projects are those that conform to the provisions of the HSC section 44241, Air District Board-adopted policies, and Air District guidance. On a case-by-case basis, County Program Managers must receive approval by the Air District for projects that are authorized by the HSC section 44241 and achieve Board-adopted TFCA cost-effectiveness but do not fully meet other Board-adopted Policies.

**7.4. Consistent with Existing Plans and Programs:** All projects must comply with the ~~T~~ransportation ~~C~~ontrol measures and ~~M~~obile ~~S~~ource ~~C~~ontrol measures included in the Air District's most recently approved ~~strategies plan~~ for achieving and maintaining State and national ~~ambient air quality ozone~~ standards, ~~those plans and programs established which are adopted~~ pursuant to HSC sections 40233, 40717, and 40919, and, when specified, ~~with~~ other adopted ~~federal~~, State, regional, and local plans and programs.

**8.5. Eligible Recipients:** Grant recipients must be responsible for the implementation of the project, have the authority and capability to complete the project, and be an applicant in good standing with the Air District (Policies #8-10).

- a. **Public agencies** are eligible to apply for all project categories.
- b. **Non-public entities** are only eligible to apply for new alternative-fuel (light, medium, and heavy-duty) vehicle and infrastructure projects, and advanced technology demonstrations that are permitted pursuant to HSC section 44241(b)(7).

**9.6. Readiness:** Projects must commence by the end of calendar year 20178. ~~For purposes of this policy, "Commence" means includes a tangibly preparatory actions taken in connection with the project's operation or implementation, for which the grantee can provide documentation of the commencement date and action performed. For purposes of this policy, "Commence" can mean the issuance of a purchase order to secure project vehicles and equipment, commencement of shuttle/feeder bus and ridesharing service, or the delivery of the award letter for a construction contract.~~

**10.7. Maximum Two Years Operating Costs:** ~~Unless otherwise specified in policies #22 through #32, TFCA County Program Manager Funds may be used to support up to two years of operating costs for Projects that provide a service-based projects (e.g., such as ridesharing, programs and shuttle and feeder bus service projects), are eligible to apply for a period of up to two (2) years, except for bike share projects, which are eligible to apply for a period of up to five (5) years.~~ Grant applicants that seek TFCA funds for additional years must reapply for funding in the subsequent funding cycles.

#### APPLICANT IN GOOD STANDING

**11.8. Independent Air District Audit Findings and Determinations:** Grantees who have failed either the fiscal audit or the performance audit for a prior TFCA-funded project awarded by either County Program Managers or the Air District are excluded from receiving an award of any TFCA funds for three (3) years

from the date of the Air District's final audit determination in accordance with HSC section 44242, or for a duration determined by the Air District Air Pollution Control Officer (APCO). Existing TFCA funds already awarded to the project sponsor will not be released until all audit recommendations and remedies have been satisfactorily implemented. A failed fiscal audit means a final audit report that includes an uncorrected audit finding that confirms an ineligible expenditure of TFCA funds. A failed performance audit means that the program or project was not implemented in accordance with the applicable Funding Agreement or grant agreement.

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

**12.9. Authorization for County Program Manager to Proceed:** Only a fully executed Funding Agreement (i.e., signed by both the Air District and the County Program Manager) constitutes the Air District's award of County Program Manager Funds. County Program Managers may ~~only~~ incur costs (i.e., contractually obligate itself to allocate County Program Manager Funds) only after the Funding Agreement with the Air District has been executed.

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

#### INELIGIBLE PROJECTS

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

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

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

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

#### USE OF TFCA FUNDS

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

**19.16. Administrative Costs:** The County Program Manager may not expend more than ~~five~~ 6.25 percent ~~{5%}~~ of its County Program Manager Funds for its administrative costs. The County Program Manager's costs to prepare and execute its Funding Agreement with the Air District are eligible administrative costs. Interest earned on County Program Manager Funds shall not be included in the calculation of the administrative costs. To be eligible for reimbursement, administrative costs must be clearly identified in the expenditure plan application and in the Funding Agreement, and must be reported to the Air District.

**20.17. Expend Funds within Two Years:** County Program Manager Funds must be expended within two (2) years of receipt of the first transfer of funds from the Air District to the County Program Manager in the

applicable fiscal year, unless a County Program Manager has made the determination based on an application for funding that the eligible project will take longer than two years to implement. Additionally, a County Program Manager may, if it finds that significant progress has been made on a project, approve no more than two one-year schedule extensions for a project. Any subsequent schedule extensions for projects can only be given on a case-by-case basis, if the Air District finds that significant progress has been made on a project, and the Funding Agreement is amended to reflect the revised schedule.

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

~~22.19. Reserved. Incremental Cost (for the purchase or lease of new vehicles): For new vehicles, TFCA funds awarded may not exceed the incremental cost of a vehicle after all rebates, credits, and other incentives are applied. Such financial incentives include manufacturer and local/state/federal rebates, tax credits, and cash equivalent incentives. Incremental cost is the difference in cost between the purchase or lease price of the new vehicle, and the price of its new conventional vehicle counterpart that meets, but does not exceed, the most current emissions standards at the time that the project is evaluated.~~

~~23.20. Reserved.~~

~~24.21. Reserved.~~

#### ELIGIBLE PROJECT CATEGORIES

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

~~**Eligibility:** These projects are intended to accelerate the deployment of qualifying alternative fuel vehicles that operate within the Air District's jurisdiction. All of the following conditions must be met for a project to be eligible for TFCA funds: For TFCA purposes, light-duty vehicles are those with a gross vehicle weight rating (GVWR) of 14,000 lbs. or lighter. Eligible alternative light-duty vehicle types and equipment eligible for funding are:~~

- ~~a. Vehicles purchased and/or leased have a gross vehicle weight rating (GVWR) of 14,000 lbs. or lighter.~~
- ~~b. Purchase or lease of Vehicles are 2017 model year or newer
 
  - ~~i. hybrid-electric, electric, fuel cell, and CNG/LNG vehicles that are certified by the California Air Resources Board (CARB) as meeting established super ultra-low emission vehicle (SULEV), partial zero emission vehicle (PZEV), advanced technology-partial zero emission vehicle (AT-PZEV), or zero emission vehicle (ZEV) standards; or-~~
  - ~~i.~~
  - ~~ii. Purchase or lease of new electric neighborhood vehicles (NEV) as defined in the California Vehicle Code.~~~~
- ~~c. For TFCA purposes, light-duty vehicles are those with a gross vehicle weight rating (GVWR) of 14,000 lbs. or lighter. Vehicles must be maintained and operated within the Air District's jurisdiction.~~
- ~~b. The amount of TFCA funds awarded may not exceed 90% of the vehicle's cost after all other grants and applicable manufacturer and local/state/federal rebates and discounts are applied.~~

d.

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

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

~~26-23.~~ Reserved.

**27-24. Alternative Fuel Heavy-Duty Vehicles and Buses:**

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

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

~~b.~~ Vehicles are 20175 model year or newer hybrid-electric, electric, CNG/LNG, and hydrogen fuel cell vehicles ~~approved~~certified by the CARB.

b.

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

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

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

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

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

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

~~28. TFCA funds may not be used to pay for non-fuel system upgrades such as transmission and exhaust systems.~~

~~29. **Scraping Requirements:** Grantees with a fleet that includes model year 1998 or older heavy-duty diesel vehicles must scrap one model year 1998 or older heavy-duty diesel vehicle for each new vehicle purchased or leased under this grant. Costs related to the scrapping of heavy-duty vehicles are not eligible for reimbursement with TFCA funds.~~

~~30.~~



**31. ~~Alternative Fuel Bus Replacement:~~**

**32-25. ~~On-Road Goods Movement Truck Replacements:~~** ~~The project will replace Class 6, Class 7, or Class 8 diesel-powered trucks that have a gross vehicle weight rating (GVWR) of 19,501 lbs. or greater (per vehicle weight classification definition used by Federal Highway Administration (FHWA)) with new or used trucks that have an engine certified to the 2010 CARB emissions standards or cleaner. Eligible vehicles are those that are used for goods movement as defined by CARB. The existing trucks must be registered with the California Department of Motor Vehicles (DMV) to an address within the Air District's jurisdiction, and must be scrapped after replacement. Eligibility: For purposes of transit and school bus replacement projects, a bus is any vehicle designed, used, or maintained for carrying more than 15 persons, including the driver. A vehicle designed, used, or maintained for carrying more than 10 persons, including the driver, which is used to transport persons for compensation or profit, or is used by any nonprofit organization or group, is also a bus. A vanpool vehicle is not considered a bus. Buses are subject to the same eligibility requirements and the same scrapping requirements listed in Policy #24.~~

**33-26. ~~Alternative Fuel Infrastructure:~~**

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

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

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

**34-27. ~~Ridesharing Projects:~~** Eligible ridesharing projects provide carpool, vanpool or other rideshare services. Projects that provide a direct or indirect financial transit or rideshare subsidy are also eligible under this category.

**35-28. ~~Shuttle/Feeder Bus Service:~~**

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

- a. The service must provide direct connections between a mass transit hub (e.g., a rail or Bus Rapid Transit (BRT) station, ferry or bus terminal or airport) and a distinct commercial or employment location.
- b. The service's schedule must be coordinated to have a timely connection with corresponding mass transit service.
- c. The service must be available for use by all members of the public.
- d. TFCA funds may be used to fund only shuttle services to locations that are under-served and lack other comparable service. For the purposes of this policy, "comparable service" means that there exists, either currently or within the last three years, a direct, timed, and publicly accessible service that brings passengers to within one-third (1/3) mile of the proposed commercial or employment location from a mass transit hub. A proposed service will not be

deemed “comparable” to an existing service ~~that brings passengers from a mass transit hub to within 1/3 mile of the employment location or commercial hub~~ if the passengers’ proposed travel time will be at least 15 minutes ~~less than shorter~~ and ~~will be~~ at least 33% shorter than the existing service’s travel time to the proposed destination;

- e. ~~Reserved. Project applicants that were awarded FYE 2014 or FYE 2015 or FYE 2016 TFCA Funds that propose identical routes in FYE 2015 or in FYE 2016 or in FYE 2017 may request an exemption from the requirements of Policy 28.D. provided they meet the following requirements: 1) No further TFCA project funding as of January 1, 2017; 2) The proposed service must serve the identical transit hub and commercial or employment locations as the previously funded project; and 3) Submission of a plan to achieve financial self-sufficiency from TFCA funds by January 1, 2017, or a plan to come into compliance with Policy 28.D. and all other eligibility criteria.~~
- f. ~~Shuttle/feeder bus service applicants~~ **Grantees** must be either: 1) a public transit agency or transit district that directly operates the shuttle/feeder bus service; or (2) a city, county, or any other public agency.
- g. ~~A Shuttle/feeder bus service~~ applicants must submit a letter of concurrence from the transit district or transit agency that provides service in the area of the proposed route, certifying that the service does not conflict with existing service.
- h. ~~Existing projects~~ **Each route** must meet ~~the~~ cost-effectiveness **requirement in Policy #2 of \$200,000 per ton of emissions reduced**. Projects that would operate in Highly Impacted Communities or Episodic Areas as defined in the Air District Community Air Risk Evaluation (CARE) Program, or in Priority Development Areas (PDAs), may qualify for funding at a **higher** cost-effectiveness limit (~~see Policy #2) of \$250,000 per ton of emissions reduced~~).
- i. **Pilot Shuttle/Feeder Bus Service:** ~~Pilot shuttle/feeder bus service~~ projects are defined as routes that are at least 70% unique and where no other service was provided within the past three years. In addition to meeting the conditions listed in Policy #28.a.-h. for shuttle/feeder bus service, pilot shuttle/feeder bus service, project applicants must also comply with the following application criteria and agree to comply with the project implementation requirements:
  - i. Provide data and other evidence demonstrating the public’s need for the service, including a demand assessment survey and letters of support from potential users. Project applicants must agree to conduct a passenger survey for each year of operation.
  - ii. Provide written documentation of plans for financing the service in the future;
  - iii. Provide a letter from the local transit agency denying service to the project’s proposed service area, which includes the basis for denial of service to the proposed areas. The applicant must demonstrate that the project applicant has attempted to coordinate service with the local service provider and has provided the results of the demand assessment survey to the local transit agency. The applicant must provide the transit service provider’s evaluation of the need for the shuttle service to the proposed area.
  - iv. Pilot projects located in Highly Impacted Communities as defined in the Air District **Community Air Risk Evaluation (CARE)** Program and/or a Planned or Potential **Priority Development Area (PDA)** may receive a maximum of three years of TFCA Funds under the Pilot designation. For these projects, the project applicants understand and must agree that such projects will be evaluated every year, and continued funding will be contingent upon the projects meeting the following requirements:

1. During the first year and by the end of the second year of operation, projects must not exceed a cost-effectiveness of \$500,000/ton, and
  - ~~2. By the end of the second year of operation, projects must not exceed a cost-effectiveness of \$200,000/ton, and~~
  - ~~3.2. By the end of the third year of operation, projects must not exceed a cost-effectiveness of \$175,000/ton and~~ meet all of the requirements, including cost-effectiveness limit, of Policy #28.a.-h. (existing shuttles).
- v. Projects located outside of CARE areas and PDAs may receive a maximum of two years of TFCA Funds under this designation. For these projects, the project applicants understand and must agree that such projects will be evaluated every year, and continued funding will be contingent upon the projects meeting the following requirements:
1. By the end of the first year of operation, projects shall meet a cost-effectiveness of \$~~250~~200,000/ton, and
  2. By the end of the second year of operation, projects ~~shall cost \$175,000 or less per ton (cost effectiveness rating) and~~ shall meet all of the requirements, including cost-effectiveness limit, of Policy #28.a.-h. (existing shuttles).

### 36.29. Bicycle Projects:

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

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

- a. New Class-1 bicycle paths;
- b. New Class-2 bicycle lanes;
- c. New Class-3 bicycle routes;
- d. New Class-4 cycle tracks or separated bikeways;
- e. Upgraded Class-1 or Class-4 bicycle facilities;~~Reserved.~~
- f. Bicycle racks, including bicycle racks on transit buses, trains, shuttle vehicles, and ferry vessels;
- g. Electronic bicycle lockers;
- h. Capital costs for attended bicycle storage facilities; and
- i. Purchase of two-wheeled or three-wheeled vehicles (self-propelled or electric), plus mounted equipment required for the intended service and helmets.
- j. Reserved.

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

### **37.30. Bay Area Bike Share:**

~~These projects that~~ make bicycles available to individuals for shared use for completing first- and last-mile trips in conjunction with regional transit and stand-alone short distance trips are. ~~To be~~ eligible for TFCF funds, subject to all of the following conditions:

- a. ~~, bicycle share projects must work in unison with the existing Bay Area Bike Share project~~ Projects must ~~by~~ either increasing the fleet size of within the initial participating existing service areas or expanding ~~the~~ existing service areas to include additional new Bay Area communities.
- b. Projects must have a completed and approved environmental plan and a suitability study demonstrating the viability of bicycle sharing.
- c. Projects must have shared membership -and/or be interoperable with the Bay Area Bike Share (BABS) project when they are placed into service, in order to streamline transit for maximize benefits to the end users by ~~by~~ reducing the number of separate ~~independent opera~~ operators that would comprise bike trips. Projects that meet one or more of the following conditions are exempt from this requirement:
  - i. Projects that do not require membership or any fees for use, or
  - ii. Projects that were provided funding under MTC's Bike Share Capital Program to start a new or expand an existing bike share program; or.
  - iii. Projects that attempted to coordinate with, but were refused by, the current BABS operator to have shared membership or be interoperable with BABS. Applicants must provide documentation showing proof of refusal.

~~Projects may be awarded FYE 2018 TFCF funds to pay for up to five years of operations. Projects must have a completed and approved environmental plan and a suitability study demonstrating the viability of bicycle sharing. Projects may be awarded TFCF funds to pay for up to five years of operations.~~

### **38.31. Arterial Management:**

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

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

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

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

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

## *Appendix E: Glossary of Terms*

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

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

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

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

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

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

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

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

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

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

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

## *Appendix F: Insurance Guidelines*

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

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

### •1. Liability Insurance:

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

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

### •2. Property Insurance:

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

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

### •3. Workers Compensation Insurance:

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

### •4. Acceptability of Insurers:

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

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

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



## Appendix G: Sample Project Information Form

A. Project Number: 187XX01

Use consecutive numbers for projects funded, with year, county code, and number, e.g., 187MAR01, 187MAR02 for Marin County. Zero (e.g., 187MAR00) is reserved for County Program Manager TFCA funds allocated for administration costs.

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

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

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

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

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

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

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

➤E. Project Description:

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

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

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

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

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

➤H. \_\_\_\_\_ Comments (if any):

Add any relevant clarifying information in this section.

## Appendix H: Instructions for Cost-effectiveness Worksheets

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

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

<u>Project Type</u>	<u>Worksheet Name</u>
Ridesharing, Shuttles, Bicycle, Bike Share , Smart Growth, and Traffic Calming Projects	Trip Reduction FYE <del>187</del>
Arterial Management: Signal Timing	Arterial Management FYE <del>187</del>
Transit Bus Signal Priority (also for Transit Rail Vehicles)	Trip Reduction FYE <del>187</del>
Alternative-Fuel Light-Duty and Light Heavy-Duty Vehicles or Infrastructure	LD & LHD Vehicle FYE <del>187</del>
Alternative-Fuel Low-Mileage Utility Trucks – Idling Service	Heavy-Duty Vehicle FYE <del>187</del>
Alternative-Fuel Heavy-Duty Vehicles, Buses, or Infrastructure	Heavy-Duty Vehicle FYE <del>187</del>

**Make entries in the yellow-shaded areas only in the worksheets.** Begin each new filename with the application number (e.g., ~~187~~MAR04) as described below. Each worksheet contains separate tabs for: Instructions (no user input), General Information, Calculations, Notes and Assumptions, and Emission Factors (no user input).

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

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

### Instructions Specific to Each Project Type

#### Ridesharing and Shuttle Projects

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

In addition, **each shuttle route must meet the cost-effectiveness criteria** (Policy # ~~28~~). If a project consists of more than one route, one worksheet should be submitted with all routes listed, and a

separate worksheet must be prepared showing the cost-effectiveness of each route (i.e., as determined by that route's ridership, funding allocation, etc.).

#### Transit Signal Priority

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

#### Arterial Management Projects

**Please note that each segment must meet the cost-effectiveness requirement (Policy #231).** If there are multiple segments being considered for funding, one worksheet should be submitted with all segments listed, and a separate worksheet should be submitted showing the cost-effectiveness for each segment.

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

#### Smart Growth, Traffic Calming

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

#### Vehicle and Fueling Infrastructure Projects

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

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

Because TFCA funds may only be used to fund early-compliance emissions reductions, and because of the various fleet rule requirements, calculating cost-effectiveness for vehicle grant projects can be complex, and it is recommended that it be done only by someone familiar with all applicable regulations and certifications. Additionally, electric vehicle infrastructure generally does not qualify for more than \$23,000 per Level 2 (6.6KW) charging spot, and County Program Managers should consult with the Air District on such projects, as the evaluation methodologies are evolving. Also, any questions should be raised to Air District staff well before project approval deadlines in order to assure project eligibility.

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

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

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

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

Guidance on inputs for the worksheets are as follows:

### **Instructions Tab**

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

### **General Information Tab**

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

**1<sup>st</sup>** – fiscal year in which project will be funded (e.g., **187** for FYE 20187).

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

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

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

Example: **187MAR04** = fiscal year ending **20187**, **Marin**, Project **#04**.

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

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

Code	Project Type	Code	Project Type
<b>0</b>	Administrative costs	<b>6c</b>	Shuttle services – NG powered
<b>1a</b>	NG buses (transit or shuttle buses)	<b>6d</b>	Shuttle services – EV powered
<b>1b</b>	EV buses	<b>6e</b>	Shuttle services – Fuel cell powered
<b>1c</b>	Hybrid buses	<b>6f</b>	Shuttle services – Hybrid vehicle

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

- County:** Use the same abbreviations as used in Project Number.
- Worksheet Calculated by:** Name of person completing the worksheet.
- Date of Submission:** Date submitted to the County Program Manager.
- Grantee Org.:** Organization responsible for the project.
- Contact Name:** Name of individual responsible for implementing the project. Include all contact information requested (email, phone, address).
- Project Start Date** Date work begins on a project. Note: Project must meet Readiness Policy (Policy #6).
- Completion Date &**
- Final Report to CMA:** Date the project was completed and the date the Final Report was received by the County Program Manager. Note: County Program

~~Managers~~ must expend funds within two years of receipt, unless an application states that the project will take a longer period of time and is approved by the County Program Manager or the Air District.

### **Calculations Tab**

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

#### Cost Effectiveness Inputs

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

#### Emission Reduction Calculations

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

### **Notes & Assumptions Tab**

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

### **Emission Factors Tab**

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

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

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

<http://www.arb.ca.gov/msprog/moyer/guidelines/supplemental-docs.htm>

Summary of On-Road Heavy-Duty Fleet Rules

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

~~Summary of On-Road Heavy-Duty Fleet Rules~~**Summary of Maximum Cost-effectiveness & Years Effectiveness by Project Category**

Policy No.	Project Category	Maximum C-E (\$/weighted ton)	Years Effectiveness
22	Alternative Fuel Light-Duty Vehicles	250,000	3 years recommended, 4 years max
23	Reserved	Reserved	Reserved
24	Alternative Fuel Heavy-Duty Vehicles and Buses	250,000	3 years recommended, 4 years max
25	<del>On-Road Goods Movement Truck Replacements</del> <del>Alternative Fuel Bus Replacement</del>	<del>250,000</del> <u>90,000</u>	3 years recommended, 4 years max
26	Alternative Fuel Infrastructure	250,000	3 years recommended, 4 years max
27	Ridesharing Projects	150,000	2 years max
28 <del>a.A-h.H</del>	Shuttle/Feeder Bus Service – Existing	200,000; 250,000 for services in CARE Areas or PDAs	2 years max
28 <del>i.t</del>	Shuttle/Feeder Bus Service - Pilot	Year 1 - <del>250,000</del> Year 2 - <del>see Policy #28.a-h.175,000</del>	2 years max
28 <del>i.t</del>	Shuttle/Feeder Bus Service – Pilot in CARE Areas or PDAs	Years <del>1 &amp; 2</del> - 500,000 <del>Year 2 – 200,000</del> Year 3 - <del>see Policy #28.a-h.175,000</del>	2 years max
29	Bicycle Projects	250,000	From 3 to 10 years
30	Bay Area Bike Share	500,000	5 years max
31	Arterial Management	175,000	2 or 4 years
32	Smart Growth/Traffic Calming	175,000	10 years max

Emission Reduction Inputs

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
<p><b>Ridesharing / Trip Reduction</b>                      Project Type = 5a-h, 8b, 9a-c, 11a, or 11b                      Worksheet = Trip Reduction FYE 187                      Note: For ridesharing the default maximum number of vehicle trips reduced per day is 1% of target population.</p>	<p><b><u>Ridesharing</u></b></p> <ul style="list-style-type: none"> <li>• # Years Effectiveness</li> <li>• # Trips/Day (1-way) eliminated [% of target population (# employees)]</li> <li>• Days/Yr</li> <li>• Trip Length (1-way)</li> <li>• # New Trips/Day (1-way) to access transit</li> <li>• Days/Yr</li> <li>• Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Cost Effectiveness Inputs, up to 2 years</li> <li>• Enter in Step 1-Column A, 1% of target population</li> <li>• Enter in Step 1-Column B, 240 days (max.)</li> <li>• Step 1-Column C, Default = 16 miles (1-way commute distance from MTC's Commute Profile)</li> <li>• Step 2-Column A, Default = 50% of # Trips/Day Eliminated (Step 1-Column A)</li> <li>• Enter in Step 2-Column B, same # as Step 1-Column B</li> <li>• Enter in Step 2-Column C, Default = 3 miles</li> </ul>
	<p><b><u>School-Based Ridesharing</u></b></p> <ul style="list-style-type: none"> <li>• # Years Effectiveness</li> <li>• # Trips/Day (1-way) eliminated [% of target population (total # students)]</li> <li>• Days/Yr</li> <li>• Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Cost Effectiveness Inputs, up to 2 yrs</li> <li>• Step 1-Column A, No Default</li> <li>• Enter in Step 1-Column B, 180 days (max.)</li> <li>• Step 1-Column C, 1-3 miles</li> </ul>
	<p><b><u>Transit Incentive Campaigns</u></b></p> <ul style="list-style-type: none"> <li>• # Years Effectiveness</li> <li>• # Trips/Day (1-way) eliminated [% of target population]. Use survey data if available.</li> <li>• Days/Yr</li> <li>• Trip Length (1-way), based on routes accessed</li> <li>• # New Trips/Day (1-way) to access transit</li> <li>• Days/Yr (new trips)</li> <li>• Trip Length (1-way) for new trips</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Cost Effectiveness Inputs, up to 2 yrs</li> <li>• Step 1-Column A, No default</li> <li>• Enter in Step 1-Column B, 90 days (max.) if # Trips/Day based on % of target population. If # Trips/Day based on participants, 240 days (max).</li> <li>• Step 1-Column C, No Default</li> <li>• Step 2-Column A, 50% of # Trips/Day Eliminated (Step 1-Column A)</li> <li>• Enter in Step 2-Column B - same as # days used in Step 1</li> <li>• Step 2-Column C, Default = 3 miles</li> </ul>
	<p><b><u>Guaranteed Ride Home Programs</u></b></p>	



<ul style="list-style-type: none"> <li># Years Effectiveness</li> <li># Trips/Day (1-way) eliminated</li> <li>Days/Yr</li> <li>Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>Enter in Cost Effectiveness Inputs, up to 2 years</li> <li>Enter in Step 1-Column A, 0.2% of target population.</li> <li>Enter in Step 1-Column B, 240 days (Max.)</li> <li>Step 1-Column C, Default = 16 miles</li> </ul>
<ul style="list-style-type: none"> <li># Years Effectiveness</li> <li># Trips/Day (1-way) eliminated</li> <li>Days/Yr</li> <li>Trip Length (1-way)</li> </ul>	<p><b><u>Transit Vehicle Signal Prioritization</u></b></p> <ul style="list-style-type: none"> <li>Enter in Cost Effectiveness Inputs, 2 yrs</li> <li>Step 1-Column A, No Default</li> <li>Enter in Step 1-Column B, 240 days (max)</li> <li>Step 1-Column C, No Default</li> <li>Step 2-Column A, 50% of # Trips/Day Eliminated (Step 1-Column A)</li> <li>Step 2-Column B, same as Step 1-Column B</li> <li>Enter in Step 2-Column C, 3 miles</li> </ul>

**Emission-Reduction-Inputs**

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
<p><b>Bicycle Projects</b> Project Type = 7a-j</p> <p>Worksheet = Trip Reduction FYE 187</p> <p>Methodology to estimate number of trips reduced for bike paths, lanes, &amp; routes based on:</p> <ul style="list-style-type: none"> <li>- the type of facility (Class 1, 2, or 3)</li> <li>- the length of the project segment</li> <li>- the traffic volume (ADT) on the facility.</li> </ul> <p>For Class 1 projects, use the ADT on the most appropriate parallel road.</p>	<p><b><u>Bicycle Projects (Paths, Lanes, Routes)</u></b></p> <ul style="list-style-type: none"> <li># Years Effectiveness                             <ul style="list-style-type: none"> <li>Class 1 bike path (or bike bridge)</li> <li>Class 2 bike lane</li> <li>Class 3 bike route</li> <li>Class 4 cycle tracks or separated bikeways</li> </ul> </li> <li># Trips/Day (1-way) eliminated (depends on length of project segment and ADT on project segment)                             <ul style="list-style-type: none"> <li>Class 1 &amp; Class 2 &amp; Class 4</li> <li>ADT ≤ 12,000 vehicles per day</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Enter in Cost Effectiveness Inputs:                             <ul style="list-style-type: none"> <li>Not to exceed 10 years for Class 1 projects (trails/paths)</li> <li>Not to exceed 7 years for Class 2, Class 3 and Class 4 projects</li> </ul> </li> <li>Enter in Step 1-Column A:                             <ul style="list-style-type: none"> <li>Length ≤ 1 mile = 0.4% ADT</li> <li>Length &gt; 1 and ≤ 2 miles = 0.6% ADT</li> </ul> </li> </ul>

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<p>For gap closure projects (where project will close a gap between two existing segments of bikeway), use the length for the total facility.</p> <p>Note: the maximum number of vehicle trips reduced per day is 240. The Air District generally assumes that no bike project will reduce more than 240 vehicle trips per day.</p> <p>The Air District normally uses an average trip length of 3 miles (one-way) for bicycle projects.</p>	<p>Class 1 &amp; Class 2 &amp; Class 4 ADT &gt; 12,000 and ≤ 24,000</p> <p>Class 1 &amp; Class 2 &amp; Class 4 ADT &gt; 24,000 and ≤ 30,000 Maximum is 30,000.</p> <p>Class 3 bike route or bicycle boulevard</p>	<p>Length &gt; 2 miles = 0.8% ADT Length ≤ 1 mile = 0.3% ADT Length &gt; 1 and ≤ 2 miles = 0.45% ADT</p> <p>Length &gt; 2 miles = 0.6% ADT Length ≤ 1 mile = 0.25% ADT Length &gt; 1 and ≤ 2 miles = 0.35% ADT Length &gt; 2 miles = 0.45% ADT</p> <p>Route ≤ 1 mile = 0.1% ADT Route &gt; 1 and ≤ 2 miles = 0.15% ADT Route &gt; 2 miles = 0.25% ADT</p> <p><u>Use 5% of the appropriate formula above</u></p> <ul style="list-style-type: none"> <li>• Enter in Step 1-Column B, 240 days</li> <li>• Enter in Step 1-Column C, 3 miles. (Not same as segment length.)</li> </ul>
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	<p><b><u>Bicycle Lockers &amp; Racks</u></b></p> <ul style="list-style-type: none"> <li>• # Years Effectiveness</li> <li>• # Trips/Day (1-way) eliminated</li> <li>• Days/Yr</li> <li>• Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Cost Effectiveness Inputs, 3 yrs</li> <li>• Enter in Step 1-Column A: Capacity of lockers x 2 trip/day Capacity of cages x 0.75 trips per day Capacity of racks x 0.5 trips per day</li> <li>• Enter in Step 1-Column B, 240 days</li> <li>• Enter in Step 1-Column C, 3 miles</li> </ul>
	<p><b><u>Bay Area Bike Share</u></b></p> <ul style="list-style-type: none"> <li>• # Years Effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Cost Effectiveness Inputs, max. 5 yrs</li> </ul>

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	<ul style="list-style-type: none"> <li>• # Trips/Day (1-way) eliminated</li> </ul> <p style="text-align: center;"><b>Weekdays</b></p> <ul style="list-style-type: none"> <li>• Days/Yr</li> <li>• Trip Length (1-way)</li> </ul> <p style="text-align: center;"><b>Weekends</b></p> <ul style="list-style-type: none"> <li>• Days/Yr</li> <li>• Trip Length (1-way)</li> </ul>	<ul style="list-style-type: none"> <li>• Enter in Step 1-Column A: Number of bikes <del>*X</del> 1.48 trips per day <del>*X</del> 12% (actual vehicle trips replaced based on Shaheen research dated June 2015)</li> <li>• Enter in Step 1-Column B, 260 days</li> <li>• Enter in Step 1-Column C, 16 miles</li> <li>• Enter in Step 1-Column B, 105 days</li> <li>• Enter in Step 1-Column C, 3 miles</li> </ul>
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**Emission Reduction Inputs**

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
<p><b>Shuttles / Rail-Bus Integration / Transit Info</b>                      Project Type =6a-i, 10a, or 10b                      Worksheet = Trip Reduction FYE 187</p> <p><i>Step 2 calculates emissions from new trips generated.</i></p> <p><i>When possible, emissions from shuttle vehicles should be based on the vehicle engine Executive Order. County Program Manager should consult with Air District staff for guidance.</i></p>	<p><b>Shuttle/Feeder Bus, Rail-Bus Integration, and Transit Information Systems</b></p> <ul style="list-style-type: none"> <li># Years Effectiveness</li> <li># Trips/Day (1-way) eliminated trips. Trips only from riders who previously would have driven.</li> <li>Days/Yr eliminated trips</li> <li>Trip Length (1-way) eliminated trips. Average trip length that will be eliminated due to shuttle passengers taking train/ferry in conjunction with the shuttle.</li> <li># Trips/Day (1-way) new trips to access transit</li> <li>Days/Yr new trips</li> <li>Trip Length (1-way) new trips. Average trip length of shuttle passengers that drive from home to the BART/Caltrain station.</li> <li># Vehicles, Model Year: Number of vehicles with same model year</li> </ul>	<ul style="list-style-type: none"> <li>Cost Effectiveness Inputs, up to 2 years</li> <li>Step 1-Column A, For on-going service, use survey results</li> <li>For new service, use 50% of daily seating capacity of vehicle * 67% (% single-occupancy vehicles (SOV) from MTC Commuter Profile)</li> <li>1-Column B, Enter number of operating days. Default =240 days/yr.</li> <li>Enter in Step 1-Column C, a survey-based distance, or, if no survey, 16 miles for shuttles and 35 miles for vanpools</li> <li>Step 2-Column A, Use survey data or, if none, a default is 50% of # Trips/Day Eliminated (Step 1-Column A)</li> <li>Enter in Step 2-Column B, same # as in Step 1-Column B.</li> <li>Enter in Step 2-Column C, a survey-based distance, or, if no survey, default is 3 miles for home-to-rail trips.</li> <li>Step 3A - Column A, no default.</li> </ul>

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*For vans and shuttle vehicles 14,000 lbs. and lighter, use Step 3A.*

- Emission Std.: Emission Standard from list provided.
- Vehicle GVW: Weight Class from list provided.
- ROG, NO<sub>x</sub>, Exhaust PM<sub>10</sub>, and Total PM<sub>10</sub> Factors: enter factor from appropriate table provided on Emission Factors tab—CARB Table 2 for vehicles model year 2004 and after, or CARB Table 7 for model years 1995-2003.
- CO<sub>2</sub> Factor: enter factor from CO<sub>2</sub> Table for Light- and Light Heavy-Duty Shuttles, on Emission Factors tab.
- Total annual VMT = [length of shuttle/van trip (one-way)] X [# one-way trips per day] X [# days of service per year]. For all vehicles listed in Step 3A.
- ROG, NO<sub>x</sub>, Exhaust PM<sub>10</sub>, Other PM<sub>10</sub> and CO<sub>2</sub> Factors: enter factor from Emissions for Buses Table provided on Emission Factors tab.
- Total annual VMT = [length of shuttle/van trip (one-way)] X [# one-way trips per day] X [# days of service per year]. For all vehicles listed in Step 3B.

*For buses, use Step 3B.*

*If a vehicle does not match the factors provided, County Program Manager should consult with Air District staff.*

- 3A - Column B, no default.
- 3A Column C, no default.
- 3A Column D through G, no default
- 3A Column H, no default.
- 3A Column I, no default.
- Step 3B: Columns D through H, no default. Note that Step 3B uses Other PM<sub>10</sub>, not Total PM<sub>10</sub>.
- 3B Column I, no default.

**Emission Reduction Inputs**

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
	<u>Arterial Management</u>	

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
<p><b>Arterial Management</b> Project Type = 8a Worksheet = Arterial Management FYE 187</p>	<ul style="list-style-type: none"> <li># Years Effectiveness</li> <li>Name of Arterial</li> <li>Segment Length (miles)</li> <li>Days/Yr.</li> <li>Time Period</li> <li>Traffic Volume</li> <li>Traffic Speed without the Project</li> <li>Travel Speed with Project</li> </ul>	<ul style="list-style-type: none"> <li>Enter in Cost Effectiveness Inputs: For signal timing/synchronization, 2 yrs or, with retiming required at 2 yrs, 4 yrs. Each project should include either 2- or 4-year segments, not both.</li> <li>Column A: Name of the arterial and the direction of travel.</li> <li>Enter under Column B the length of arterial over which speeds will be increased.</li> <li>Enter under Column C the number of days per year over which the project would affect traffic. Default is 240 days.</li> <li>Enter under Column D the time period over which the traffic volumes and speed will change (e.g., 4-7 PM). Include all the hours in a period that will benefit, not just the peak hour.</li> <li>Enter under Column E the traffic volume before the project for the corresponding Time Period and direction of travel that will make the stated speed change.</li> <li>Enter under Column F the average traffic speed along the length of the arterial before implementation of the project.</li> <li>Enter under Column G the average estimated traffic speed along the length of the arterial after implementation of the project. <i>Note: Maximum increase in speed is 25%.</i></li> </ul>
<p>[Smart Growth]</p>	<p><u>Smart Growth / Traffic Calming</u></p>	<ul style="list-style-type: none"> <li>Cost Effectiveness Inputs, 10 years max</li> <li>No other default assumptions for “smart growth” or traffic calming projects are available. Provide detailed explanations of any assumptions and calculations in the Notes and Assumptions tab.</li> </ul>

**Emission-Reduction-Inputs**

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

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

Worksheet = Heavy Duty Vehicle FYE 187

Input Data Needed	Default Assumptions
<ul style="list-style-type: none"> <li>Cost Effectiveness Inputs, # Years Effectiveness. Use separate workbook and Project # for each set of vehicles with different # Years Effectiveness or with different fuel types.</li> <li>Column B, Unit #: A unique identifier. List each vehicle on a separate row.</li> </ul>	<ul style="list-style-type: none"> <li>3 years is recommended - Not to exceed 4 years.</li> <li>Column B: No default</li> </ul>
<ul style="list-style-type: none"> <li>Columns C through E, Baseline Emission Rate: NO<sub>x</sub>, ROG, PM factors: See Moyer Table D-2a/b or D-6, based on your vehicle type, weight, and engine model year.</li> </ul>	<ul style="list-style-type: none"> <li>Columns C through E: For FYE 20187 alt-fuel heavy-duty vehicle projects, including urban buses, the baseline default is the Model Year 2010 emission standards.</li> </ul>
<ul style="list-style-type: none"> <li>Column F, Annual Fuel Use: Base on average fuel use over 2 years, and document with 2 years of records.</li> </ul>	<ul style="list-style-type: none"> <li>Column F: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column G, Fuel Consumption Factor: Moyer Table D-24</li> </ul>	<ul style="list-style-type: none"> <li>Column G: Most on-road engines are below 750 horsepower, thus the default value is 18.5.</li> </ul>
<ul style="list-style-type: none"> <li>Column H, Conversion Factor (g/mi to g/bhp-hr): Input a value only if Baseline Emission Rates (Columns C – E) are in g/mi and Fuel Basis is being used. Notice: enter data in this column or Column J, not both. Use Moyer Table D-28.</li> </ul>	<ul style="list-style-type: none"> <li>Column H: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column I, Annual VMT: Base on average VMT over 2 years, and document with 2 years of mileage records.</li> </ul>	<ul style="list-style-type: none"> <li>Column I: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column J, Conversion Factor (g/bhp-hr to g/mi): Input a value only if Baseline Emission Rates (Columns C – E) are in g/bhp-hr. Notice: enter data in this column <b>or</b> Column H, not both. Use Moyer Table D-28.</li> </ul>	<ul style="list-style-type: none"> <li>Column J: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column K, Percent operation in Air District: Only the operation within the Bay Area Air Quality Management District can be counted. Boundaries available from the Air District.</li> </ul>	<ul style="list-style-type: none"> <li>Column K: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Columns L through N, New Emission Rate: NO<sub>x</sub>, ROG, and PM: Use Executive Order values. Note: FEL engines are not eligible for TFCA funding. CARB certifies engines and provides the engine manufacturers with an Executive Order (EO) for each certified engine family. An example of an EO is shown at the end of this attachment. The EO includes general information about the certified engine such as engine family, displacement, horsepower rating(s), intended service class, and emission control systems. It also shows the applicable certification emission standards as well as the average emission levels measured during the actual certification test procedure. For the purpose of the TFCA Program, the certification emission <b>standards</b> are used to calculate emission reductions. The certification emission standards are shown in the row titled “(DIRECT) STD” under the respective “FTP” column headings for each pollutant. For instance, the Cummins 8.3 liter natural gas engine illustrated in the sample was certified to a combined oxides of nitrogen plus non-methane hydrocarbon (NO<sub>x</sub>+NMHC) emission standard of 1.8 g/bhp-hr, a carbon monoxide (CO)</li> </ul>	<ul style="list-style-type: none"> <li>Columns L through N: For FYE 20187 heavy-duty vehicle projects, including urban buses, the new vehicle must be certified to <i>exceed</i> the Model Year 2010 standard of 0.2 g/bhp-hr of NO<sub>x</sub> and 0.01 g/bhp-hr of PM, which are the default values. Some exceptions apply.</li> </ul>

Input Data Needed	Default Assumptions
<p>emission standard of 15.5 g/bhp-hr, and a particulate matter (PM) emission standard of 0.03 g/bhp-hr.</p> <p>In the case where an EO shows emission values in the rows labeled “AVERAGE STD” and/or “FEL”, the engine is certified for participation in an averaging, banking, and trading (AB&amp;T) program. AB&amp;T engines (i.e., all FEL-certified engines) <b>are not eligible</b> to participate in the TFCA Program for new vehicle purchase projects since emission benefits from an engine certified to an FEL level are not surplus emissions.</p>	
<ul style="list-style-type: none"> <li>Column O, Replacement Vehicle Cost: Must be supported by a quote for the new alt-fuel vehicle that exceeds standards.</li> </ul>	<ul style="list-style-type: none"> <li>Column O: No Default.</li> </ul>
<ul style="list-style-type: none"> <li>Column P, Must be supported by a quote for a new equivalent model vehicle that meets standards (for FYE 20187, the Model Year 2010 Standards).</li> </ul>	<ul style="list-style-type: none"> <li>Column P: No Default.</li> </ul>
<ul style="list-style-type: none"> <li>Column Q, Fuel Savings.</li> </ul>	<ul style="list-style-type: none"> <li>Column Q: Default value is 0%. For new hybrid vehicles, on a case-by-case basis, the Air District may approve another value, based on documented fuel savings relative to a non-hybrid vehicle.</li> </ul>
<ul style="list-style-type: none"> <li>Column R, Fuel Consumption Factor: Use Moyer Table D-24.</li> </ul>	<ul style="list-style-type: none"> <li>Column R: Most on-road engines are below 750 horsepower.</li> </ul>
<ul style="list-style-type: none"> <li>Column S, Conversion Factor (g/mi to g/bhp-hr): Enter a value only if New Emission Rates (Columns L – N) are in g/mi and Fuel Basis is being used. Notice: enter data in this column <b>or</b> Column T, not both. Use Moyer Table D-28.</li> </ul>	<ul style="list-style-type: none"> <li>Column S: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column T, Conversion Factor (g/bhp-hr to g/mi): Enter a value <b>only if</b> New Baseline Emission Rates (Columns L – N) are in g/bhp-hr. Notice: enter data in this column or Column S, not both. Use Moyer Table D-28.</li> </ul>	<ul style="list-style-type: none"> <li>Column T: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column Y, # Years Effectiveness: Same as in Cost Effectiveness Inputs.</li> </ul>	<ul style="list-style-type: none"> <li>Column Y: 3 years is recommended - 4 yrs max.</li> </ul>
<ul style="list-style-type: none"> <li>Column Z, Incremental Cost: The cost of the proposed vehicle minus the baseline vehicle.</li> </ul>	<ul style="list-style-type: none"> <li>Column Z: Automatically calculated.</li> </ul>
<ul style="list-style-type: none"> <li>Columns AB – AG, Emission Reductions.</li> </ul> <p>All reductions must be surplus to any regulatory, contractual, or other legally binding requirement.</p> <p>Note that if ROG values are not available for both the baseline and the proposed engine, ensure value is zero (0) for ROG, as no ROG emission reductions can be claimed.</p>	<ul style="list-style-type: none"> <li>Columns AB – AG. Calculated automatically. Enter zero (0) if a reduction cannot be claimed.</li> </ul>
<ul style="list-style-type: none"> <li>Column AM, TFCA Funding Amount: Amount of total TFCA funding. The column total must equal Total TFCA Cost from Cost-Effectiveness Inputs at top of worksheet.</li> </ul>	<ul style="list-style-type: none"> <li>Column AM: Cannot exceed Incremental Cost.</li> </ul>




Input Data Needed	Default Assumptions
<ul style="list-style-type: none"> <li>Column AP, Actual Weighted CE w/o CRF--Miles Basis (\$/ton). Cost-effectiveness based on emissions including weighted PM. <b>Must meet Policy Requirements.</b></li> </ul>	<ul style="list-style-type: none"> <li>Column AP: Calculated automatically.</li> </ul>
<ul style="list-style-type: none"> <li>Column AQ, Actual Weighted Contract CE w/o CRF--Fuel Basis (\$/ton). Cost-effectiveness based on emissions including weighted PM. <b>Must meet Policy Requirements.</b></li> </ul> <p>Emissions and cost-effectiveness calculations can only be based on fuel usage for the following vehicles:</p> <ul style="list-style-type: none"> <li>Utility vehicles in idling service</li> <li>Street sweepers</li> <li>Solid waste collection vehicles.</li> </ul> <p>All other vehicles must use mileage basis. If using fuel-based calculations, usage must be based on two years of historical fuel usage documentation (e.g., fuel logs or purchase receipts).</p>	<ul style="list-style-type: none"> <li>Column AQ: Calculated automatically.</li> </ul>
<ul style="list-style-type: none"> <li>Column AS, Baseline CO<sub>2</sub> Factor Based on Mileage: Enter value from CO<sub>2</sub> Emission Factors Table for your fuel and vehicle type (e.g., Medium Heavy Duty Diesel is 1527 g/mi).</li> </ul>	<ul style="list-style-type: none"> <li>Column AS: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column AT, Proposed Engine CO<sub>2</sub> Factor Based on Mileage: Enter value from CO<sub>2</sub> Emission Factors Table for your fuel and vehicle type (e.g., Medium Heavy Duty CNG 1098 g/mi).</li> </ul>	<ul style="list-style-type: none"> <li>Column AT: No default.</li> </ul>
<ul style="list-style-type: none"> <li>Column AV, Baseline CO<sub>2</sub> Factor Based on Fuel Use: Enter value from CO<sub>2</sub> Emission Factors Table for your fuel type (e.g., Diesel is 10079 g/mi).</li> </ul>	<ul style="list-style-type: none"> <li>Column AV: 10079 g/mi.</li> </ul>
<ul style="list-style-type: none"> <li>Column AW, Proposed Engine CO<sub>2</sub> Factor Based on Fuel Use: Enter value from CO<sub>2</sub> Emission Factors Table for your fuel type (e.g., CNG is 7244 g/mi).</li> </ul>	<ul style="list-style-type: none"> <li>Column AW: No default.</li> </ul>

Project Type/Worksheet Name	Input Data Needed	Default Assumptions
<p><b>Alt-fuel Vehicles and Infrastructure:</b></p> <p><b>Light-Duty and Light Heavy-Duty</b></p> <p>Project Types = 4a, 4b, 4c, 4d, 4e, 12a, 12b, 12c</p> <p>Worksheet = LD &amp; LHD Vehicle FYE 187</p>	<ul style="list-style-type: none"> <li># Years Effectiveness</li> <li>Unit # / ID</li> <li>Incremental Cost</li> <li>Current Standard and New Vehicle Standard</li> <li>Cost-Effectiveness</li> </ul>	<ul style="list-style-type: none"> <li>3 years is recommended - 4 years max.</li> <li>List each vehicle separately.</li> <li>For new vehicles, must be based on two quotes—one for the new alt-fuel vehicle, and one for a new conventionally-fueled equivalent model that meets current emission standards.</li> <li><del>4</del> Enter in Columns E and F the standard that a vehicle is certified to, as shown on the CARB Executive Order.</li> <li>Column U, automatically calculated. Each vehicle must meet the Policy requirements for cost-effectiveness.</li> </ul>



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

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

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

MODEL YEAR	ENGINE FAMILY	ENGINE SIZES (L)	FUEL TYPE <sup>1</sup>	STANDARDS & TEST PROCEDURE	INTENDED SERVICE CLASS <sup>2</sup>	ECS & SPECIAL FEATURES <sup>3</sup>	DIAGNOSTIC <sup>6</sup>
2012	CCEXH0729XAD	11.9	Diesel	Diesel	UB	DDI, TC, CAC, ECM, EGR, OC, SCR-U, PTOX	EMD
<b>PRIMARY ENGINE'S IDLE EMISSIONS CONTROL</b>		<b>ADDITIONAL IDLE EMISSIONS CONTROL<sup>5</sup></b>					
Exempt		N/A					
<b>ENGINE (L)</b>		<b>ENGINE MODELS / CODES (rated power, in hp)</b>					
11.9		ISX11.9 385 / 3865;FR20350 (379), ISX12 385 / 3865;FR20350 (379)					
<small> <sup>1</sup> =not applicable; GVWR=gross vehicle weight rating; 13 CCR xyz=Title 13, California Code of Regulations, Section xyz; 40 CFR 86.abc=Title 40, Code of Federal Regulations, Section 86.abc; <sup>2</sup> =liter; hp=horsepower, kw=kilowatt, hr=hour;  <sup>3</sup> CNG/LNG=compressed/liquefied natural gas; LPG=liquefied petroleum gas; E85=85% ethanol fuel; MF=multi fuel a.k.a. BF=bi fuel; DF=dual fuel; FF=flexible fuel;  <sup>4</sup> L/M/H HDD=light/medium/heavy heavy-duty diesel; UB=urban bus; HDO=heavy duty Otto;  <sup>5</sup> ECS=emission control system; TWC/OC=three-way/oxidizing catalyst; NAC=NOx adsorption catalyst; SCR-U / SCR-N=selective catalytic reduction - urea / - ammonia; WU (prefix) =warm-up catalyst; DPF=diesel particulate filter; PTOX=periodic trap oxidizer; HO2S/O2S=heated/oxygen sensor; HAFS/AFS=heated/air-fuel-ratio sensor (a.k.a., universal or linear oxygen sensor); TBI=throttle body fuel injection; SP/MP=sequential/multi port fuel injection; DGI=direct gasoline injection; GCARB=gaseous carburetor; IDI/DDI=indirect/direct diesel injection; TC/SC=turbo/super charger; CAC=charge air cooler; EGR / EGR-C=exhaust gas recirculation / cooled EGR; PAIR/AIR=pulse/secondary air injection; SPL=smoke puff limiter; ECM/PCM=engine/powertrain control module; EM=engine modification; 2 (prefix)=parallel; (2) (suffix)=in series; AMOX=ammonia oxidation catalyst  <sup>6</sup> ESS=engine shutdown system (per 13 CCR 1956.8(a)(6)(A)(1); 30g=30 g/hr NOx (per 13 CCR 1956.8(a)(6)(C); APS =internal combustion auxiliary power system; ALT=alternative method (per 13 CCR 1956.8(a)(6)(D); Exempt=exempted per 13 CCR 1956.8(a)(6)(B) or for CNG/LNG fuel systems; N/A=not applicable (e.g., Otto engines and vehicles); EMD=engine manufacturer diagnostic system (13 CCR 1971); OBD=on-board diagnostic system (13 CCR 1971.1);                 </small>							

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

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

<sup>4</sup> g/bhp-hr=grams per brake horsepower-hour; FTP=Federal Test Procedure; EURO=Euro III European Steady-State Cycle, including RMCSET=ram mode cycle supplemental emissions testing; NTE=Not-to-Exceed; STD=standard or emission test cap; FEL=family emission limit; CERT=certification level; NMHC/HC=non-methane/hydrocarbon; NOx=oxides of nitrogen; CO=carbon monoxide; PM=particulate matter; HCHO=formaldehyde. (Rev.: 2007-02-28)

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

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

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

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

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

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

  
**Annette Hebert, Chief**  
**Mobile Source Operations Division**



# Memorandum

**Date:** 02.06.17 **RE:** Plans and Programs Committee  
February 14, 2017

**To:** Plans and Programs Committee: Commissioners Tang (Chair), Farrell (Vice Chair), Breed, Safai, Sheehy and Peskin (Ex Officio)

**From:** Anna LaForte – Deputy Director for Policy and Programming *all*

**Through:** Tilly Chang – Executive Director *TCC*

**Subject:** **ACTION** – Recommend Adoption of the Fiscal Year 2017/18 Transportation Fund for Clean Air Local Expenditure Criteria

## Summary

Transportation Fund for Clean Air (TFCA) funds come from a \$4 per vehicle surcharge collected by the California Department of Motor Vehicles on motor vehicle registrations in the nine-county Bay Area region. A portion of the funds (40 percent) is available to each county on a return-to-source basis from the Bay Area Air Quality Management District (Air District). These funds are used to implement strategies to improve air quality by reducing motor vehicle emissions in accordance with the Air District's Clean Air Plan. As the Program Manager for the City and County of San Francisco, the Transportation Authority is required to adopt Local Expenditure Criteria for the programming of the local TFCA funds. Our proposed Fiscal Year (FY) 2017/18 Local Expenditure Criteria (Attachment 1) are the same as those used in past cycles and are consistent with the Air District's TFCA policies for FY 2017/18. The criteria establish a clear prioritization methodology for applicant projects, including project types ranked by local priorities, emissions reduced, program diversity, project readiness, and past project sponsor delivery. Following Board approval of the Local Expenditure Criteria, we plan to issue the FY 2017/18 call for projects by March 7 and anticipate having approximately \$724,500 to program to projects.

## BACKGROUND

Transportation Fund for Clean Air (TFCA) funds come from a \$4 per vehicle surcharge collected by the California Department of Motor Vehicles on motor vehicle registrations in the nine-county Bay Area region and are distributed by the Bay Area Air Quality Management District (Air District). These funds are used to implement strategies to improve air quality by reducing motor vehicle emissions in accordance with the Air District's Clean Air Plan.

Project sponsors can apply for TFCA funds through two separate programs: a regional program administered by the Air District, which uses 60 percent of the TFCA funds, and a local return-to-source formula program, which uses the remaining 40 percent of the funds. As the TFCA Program Manager for San Francisco, the Transportation Authority is responsible for developing a list of projects to fund with the local TFCA funds.

## DISCUSSION

The purpose of this memorandum is to present our proposed Fiscal Year (FY) 2017/18 TFCA Local

Expenditure Criteria and to seek a recommendation for the adoption of the criteria as presented.

TFCA regulations require that the Program Manager annually adopt Local Expenditure Criteria that will be the basis for developing a recommended project priorities list for local TFCA funds. The criteria need to be consistent with the Air District's adopted TFCA County Program Manager Fund Guidance.

**Schedule:** Our schedule for the FY 2017/18 TFCA program involves Board approval of the Local Expenditure Criteria in February 2017 in order to support release of the call for projects in early March. The proposed schedule for the call for projects is shown in Table 1 below.

**Table 1. Proposed Schedule for FY 2017/18 TFCA Call for Projects\***

Wednesday, January 25, 2017	Citizens Advisory Committee Meeting – ACTION Local Expenditure Criteria
Tuesday, February 14, 2017	Plans and Programs Committee Meeting – ACTION Local Expenditure Criteria
Tuesday, February 28, 2017	Transportation Authority Board Meeting – ACTION Local Expenditure Criteria
By Tuesday, March 7, 2017	Transportation Authority issues TFCA Call for Projects
Friday, April 28, 2017	TFCA Applications Due to the Transportation Authority
Wednesday, May 24, 2017	Citizens Advisory Committee Meeting – ACTION TFCA staff recommendations
Tuesday, June 20, 2017	Plans and Programs Committee Meeting – ACTION TFCA staff recommendations
Tuesday, June 27, 2017	Transportation Authority Board Meeting – ACTION TFCA staff recommendations
Aug-Sept 2017 (estimated)	Funds expected to be available to project sponsors

\*Meeting dates are subject to change. Please check the Transportation Authority's website for the most up-to-date schedule ([www.sfcta.org/agendas](http://www.sfcta.org/agendas)).

**Local Expenditure Criteria:** Some counties have established a complex point system for rating potential TFCA projects, while other counties have utilized a general policy with a set of priorities. As a combined City and County, San Francisco does not have multiple jurisdictions applying for funds; however, there is considerable diversity in the types of projects initiated in the county. Compared to more auto-oriented counties, the revenue that San Francisco receives from this program (\$722,400 in new revenues this year) is relatively small and can normally fund only a few (e.g., four to six) projects.

Our assessment is that over time the Transportation Authority has been better served by not assigning a point system to evaluate applications. Our experience with previous application cycles shows that the projected TFCA revenues generally are sufficient to fund the majority of the projects that satisfy all of the TFCA eligibility requirements established by the Air District, including a requirement that each project must achieve a cost effectiveness ratio as established in the adopted TFCA County Program Manager Fund Guidance.

As in prior years, only applicant projects that meet all of the Air District's TFCA eligibility requirements

will be prioritized for funding using the Transportation Authority's Local Expenditure Criteria. Our proposed FY 2017/18 Local Expenditure Criteria, shown in Attachment 1, are the same as those used in previous years. They include consideration of the following factors:

- Project type
- Cost effectiveness
- Project delivery
- Program diversity
- Other considerations (e.g., the project sponsor's recent track record in delivering TFCA projects)

We provided input to the Air District on the its draft TFCA FY 2017/18 policies, working with the Transportation Authority's Technical Working Group, the other Bay Area Congestion Management Agencies and San Francisco's representatives on the Air District Board. The Air District's final TFCA FY 2017/18 policies shown in Attachment 2 incorporate several revisions. Notable examples include:

- Increased the cost-effectiveness limit for shuttle projects;
- Allowed upgrades to an existing bicycle facility when converting from a Class-2 or Class-3 to a Class-1 or Class-4 bike facility; and
- Relaxed requirements for bike share projects;
- Revised policy language for Alternative Fuel Light-Duty Vehicles and Alternative Fuel Heavy-Duty Vehicles and Buses categories;
- Added On-Road Goods Movement Truck Replacements as an eligible category for the replacements of diesel-power trucks that are used for goods movement.

We strongly advocated for and are appreciative of the changes allowing upgrades to existing bicycle facilities, such as adding a buffer or curb to separate an existing standard bike lane from car traffic – something that was previously ineligible for TFCA funds. Improved bike facilities have been shown to increase usage by bicyclists, however, in previous years, only new facilities on streets with no bicycle facilities at all were eligible for TFCA funds. Upgrades are a major need in San Francisco, where our bike network is already extensive, but where older-style bike lanes do not always provide the level of comfort and safety necessary to attract less experienced riders.

We continue to work with the Air District and other Congestion Management Agencies (CMAs) to improve the TFCA program's effectiveness at achieving air quality benefits, decrease its administrative burden, and allow the CMAs more flexibility to address each county's unique air quality challenges and preferred methods of mitigating mobile source emissions.

## ALTERNATIVES

1. Recommend adoption of the FY 2017/18 TFCA Local Expenditure Criteria, as requested.
2. Recommend adoption of the FY 2017/18 TFCA Local Expenditure Criteria, with modifications.
3. Defer action, pending additional information or further staff analysis.

## CAC POSITION

The CAC was briefed on this item at its January 25, 2017 meeting and unanimously adopted a motion of support for the staff recommendation.

**FINANCIAL IMPACTS**

Approval of the Local Expenditure Criteria will not have any impact on the Transportation Authority's adopted FY 2016/17 budget, but it will allow the Transportation Authority to apply for approximately \$724,500 (including estimated de-obligations) in FY 2017/18 local TFCA funds that can then be programmed to eligible San Francisco projects. These funds will be incorporated into the FY 2017/18 budget.

**RECOMMENDATION**

Recommend adoption of the FY 2017/18 TFCA Local Expenditure Criteria.

## Attachments (2):

1. Draft FY 2017/18 TFCA Local Expenditure Criteria
2. County Program Manager Fund Expenditure Plan Guidance – FY Ending 2018



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RESOLUTION APPROVING THE ONE BAY AREA GRANT PROGRAM CYCLE 2 SAN FRANCISCO CALL FOR PROJECTS FRAMEWORK

WHEREAS, In May 2012, the Metropolitan Transportation Commission (MTC) adopted the One Bay Area Grant Cycle 1 (OBAG 1) funding and policy framework for programming the region's federal transportation funds in an effort to integrate the region's transportation program with California's climate law and Plan Bay Area, the Regional Transportation Plan/Sustainable Communities Strategy; and

WHEREAS, OBAG 1 accomplished this integration by rewarding jurisdictions that accepted housing allocations and that have historically produced housing, by promoting transportation investments in Priority Development Areas (PDAs) that are targeted for growth (Attachment 1), and by increasing programming flexibility of the OBAG County Program for Congestion Management Agencies (CMAs); and

WHEREAS, Provided that the CMAs comply with MTC's requirements, CMAs have flexibility to program funds to a wide variety of project types from transit capacity and enhancement projects to pedestrian and bicycle safety projects to street resurfacing, as well as for CMA planning activities; and

WHEREAS, In November 2015, through Resolution 4202, MTC adopted the One Bay Area Grant Cycle 2 (OBAG 2) framework, which was revised in July 2016 to distribute additional revenues and incorporate housing-related program elements; and

WHEREAS, OBAG 2 maintains largely the same framework and policies as OBAG 1, building on progress made by OBAG 1 by making some refinements that attempt to address the region's growing challenge with the lack of housing and affordable housing, in particular; and



WHEREAS, San Francisco's share of the OBAG 2 county program is \$44.186 million, which is available for programming over the next five fiscal years (2017/18 – 2021/22); and

WHEREAS, For OBAG 2, staff recommends assigning \$1.9 million for CMA planning activities, \$1.797 million for Safe Routes to School (MTC-guaranteed minimum) with priority to non-infrastructure projects, and the remaining \$40.489 million for a competitive call open to all OBAG-eligible projects (Attachment 2); and

WHEREAS, The proposed OBAG 2 screening and prioritization criteria (Attachment 3) include MTC's requirements as well as additional San Francisco-specific criteria as allowed by MTC's OBAG 2 guidelines; and

WHEREAS, San Francisco's OBAG2 call for projects will be conducted in accordance with MTC's guidelines and will follow the schedule in Attachment 4 in order to submit San Francisco's OBAG 2 priorities to MTC by its July 31, 2017 deadline; and

WHEREAS, At its January 25, 2017 meeting, the Citizens Advisory Committee was briefed on the subject request and unanimously adopted a motion of support for the staff recommendation; and

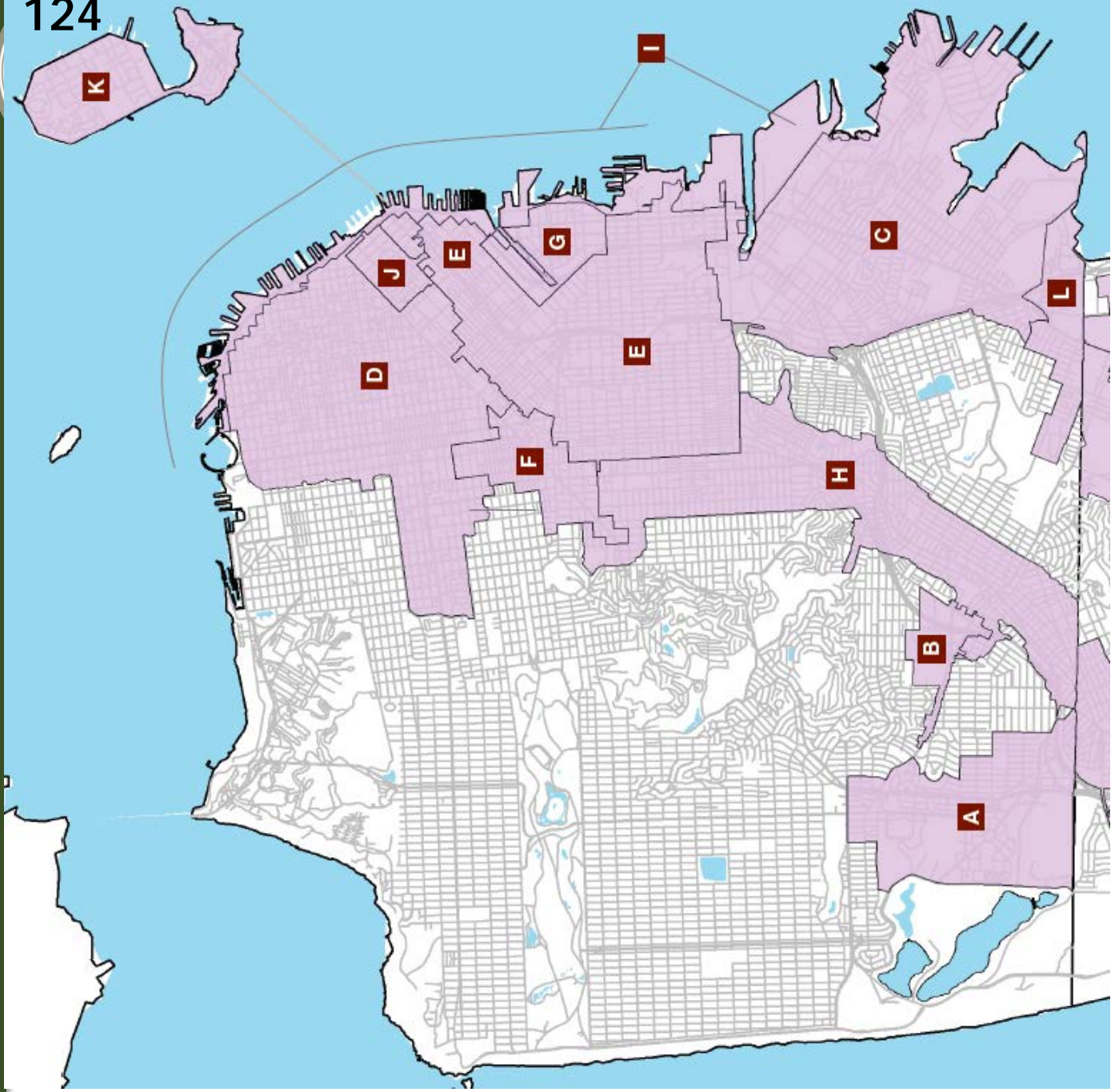
WHEREAS, At its February 14, 2017 meeting, the Plans and Programs Committee reviewed and unanimously recommended approval of the staff recommendation; now, therefore, be it

RESOLVED, That the Transportation Authority hereby approves the attached OBAG 2 San Francisco Call for Projects Framework, including Funding Approach, Screening and Prioritization Criteria, and Schedule and be it further

RESOLVED, That the Executive Director is hereby authorized to communicate this information to all relevant agencies and interested parties.

Attachments (4):

1. San Francisco Priority Development Areas
2. OBAG 2 Funding Approach
3. OBAG 2 Screening and Prioritization Criteria
4. OBAG 2 Call for Projects Schedule



## Attachment 1.

### SAN FRANCISCO PRIORITY DEVELOPMENT AREAS

- A. 19th Avenue
- B. Balboa Park
- C. Bayview/Hunters Point Shipyard/Candlestick Point
- D. Downtown-Van Ness-Geary
- E. Eastern Neighborhoods
- F. Market-Octavia/Upper Market
- G. Mission Bay
- H. Mission-San Jose Corridor
- I. Port of San Francisco
- J. Transit Center District
- K. Treasure Island and Yerba Buena Island
- L. San Francisco/San Mateo Bi-County Area

Attachment 2.

<b>San Francisco OBAG 2 County Program Funding Approach (millions \$)</b>	
CMA planning augmentation	\$ 1.900
Safe Routes to School (SRTS)	\$ 1.797
Countywide OBAG 2	\$40.489
<b>TOTAL</b>	<b>\$44.186</b>

## Attachment 3.

**One Bay Area Grant (OBAG) 2  
Draft San Francisco Screening and Prioritization Criteria**

To develop a program of projects for San Francisco's OBAG 2 County Program, the 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 2 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 proposed to add a few additional criteria to better reflect the particular conditions and needs in our county (as indicated by *italicized text*).

### OBAG 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, but are not limited to the following factors:

- Award of the OBAG 2 funds will result in a fully funded, stand-alone capital project, plan, or Safe Routes to School (SRTS) project.
- Project scope must be consistent with the intent of OBAG and its broad eligible uses.<sup>1</sup>
- Project sponsor is eligible to receive federal transportation funds.
- Project sponsor is requesting a minimum of \$500,000 in OBAG funds.<sup>2</sup>
- Project is consistent with Plan Bay Area (the Bay Area's regional transportation plan) *and the San Francisco Transportation Plan*.
- 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. For non-infrastructure projects, the project sponsor may demonstrate funding federally ineligible activities with the local match.

#### Additional Screening Criteria for Street Resurfacing Projects:

- Project selection must be based on the analysis results of federal-aid eligible roads from San Francisco's certified Pavement Management System.
- Pavement rehabilitation projects must have a PCI score of 70 or below. Preventative maintenance projects must extend the useful life of the facility by at least 5 years.

#### Additional Screening Criteria for the SRTS Set-Aside:

<sup>1</sup> Eligible scopes of work include but are not limited to transit improvements, smart system management, transportation demand management, safety and streetscape improvements, street resurfacing, and PDA planning. Refer to MTC's OBAG 2 guidelines for a full list, and contact SFCTA staff with any questions about eligibility.

<sup>2</sup> SFCTA staff will consider projects requesting more than \$100,000 but less than \$500,000 on a case by case basis if the project is competitive and cannot easily be funded elsewhere, but sponsors must demonstrate an ability to comply with federal funding requirements.

## Attachment 3.

- *Non-infrastructure projects (e.g. education and outreach) will be prioritized given that they have limited discretionary funding opportunities.*
- *Projects must be coordinated with San Francisco SRTS Coalition (Coalition), i.e., either having been prioritized by the Coalition or having a letter of support signed by all of the Coalition member agencies.*

## OBAG 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, to enable matching of recommended projects with eligibility requirements of available fund sources, and if necessary, to prioritize a very competitive list of eligible projects that exceed available programming capacity.

## Location-Specific Criteria

- **Located within or provides “proximate access” to Priority Development Area (PDA):** OBAG establishes a minimum requirement that 70% of all OBAG funds be used on projects that are located within or provide proximate access to a PDA. Projects that are geographically outside of a PDA, but are determined to be eligible by the Transportation Authority because they provide proximate access to a PDA, must be mapped and given policy justifications for why and how they support a given PDA. The Transportation Authority will also consider consistency with the Transportation Investment Growth Strategy and/or PDA plans.
- **Located within High Impact Project Areas:** Factors used to determine High Impact Project Areas include:
  - PDAs taking on significant housing growth in Plan Bay Area, including Regional Housing Needs Allocation, as well as housing production, especially those that are adding a large number of very low, low, and moderate income housing units.
  - Dense job centers in proximity to housing and transit (both currently and as projected in Plan Bay Area), especially where supported by reduced parking requirements and Travel Demand Management programs
  - Improved transportation choices for all income levels in proximity to quality transit access, with an emphasis on connectivity (including safety, lighting, etc.), to reduce vehicle miles travelled
- **Located within a Community of Concern (COC):** Projects located within a COC, as defined by MTC, Congestion Management Agencies, or Community Based Transportation Plans will be given higher priority. *Projects identified in Muni’s Equity Strategy will be given priority.*
- **Located within PDAs with affordable housing preservation and creation strategies:** Projects located within PDAs with affordable housing preservation and creation strategies and community stabilization strategies will be given priority. *Technically, San Francisco is already compliant with MTC’s criterion which is meant to apply at the jurisdiction level. Nonetheless, in order to meet the spirit of this criterion and after consulting with the Planning Department, we will give priority to projects located near a housing development within a PDA with 75% or more affordable units.*
- **Located within Bay Area Air Quality Management District (Air District) Community**

## Attachment 3.

**Air Risk Evaluation (CARE) Community, or located near freight transport infrastructure:** Projects located in areas with highest exposure to particulate matter and toxic air contaminants that employ best management practices to mitigate exposure, will receive a higher priority.<sup>3</sup>

### Other Criteria

- **Project Readiness:** Projects that can clearly demonstrate an ability to meet OBAG timely use of funds requirements will be given a higher priority.
- **Planning for Healthy Places:** Projects that implement best practices identified in Air District Planning for Healthy Places guidelines will receive higher priority.<sup>4</sup>
- **Safety:** *Projects that address high injury corridors or other locations consistent with the City's Vision Zero policy 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.*
- **Multi-modal Benefits:** *Projects that directly benefit multiple system users (e.g. pedestrians, cyclists, transit passengers, motorists) will be prioritized.*
- **Multiple Project Coordination:** *Projects that are coordinated with non-OBAG funded, but related improvements, such as making multi-modal improvements on a street or road 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).*
- **Community Support:** *Projects with clear and diverse community support will receive a higher priority. This can be shown through letters of support, specific reference to adopted plans that were developed through a community-based planning process (e.g. community-based transportation plan, the Neighborhood Transportation Improvement Program, corridor improvement plan), or community meetings regarding the project. SR2S infrastructure projects that come from documented walking audits with school officials and community members also will be prioritized.*
- **Core Capacity:** *Projects that increase capacity and reliability needs such as those identified in MTC's Bay Area Core Capacity Transit Study will receive a higher priority. Core corridors include the Muni Metro and Rapid Network, Transbay and Peninsula travel corridors. Includes transit capacity and travel demand management to increase person throughput and transit reliability in freeway corridors.*
- **Alternate Funding Source:** *This factor will be considered to prioritize projects with limited alternate funding sources.*
- **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:** *This factor will be applied program-wide.*

As is customary, 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.

<sup>3</sup> Information regarding Air District CARE Communities can be found online (<http://www.baaqmd.gov/plans-and-climate/community-air-risk-evaluation-care-program>).

<sup>4</sup> Information regarding Air District Planning for Healthy Places can be found online (<http://www.baaqmd.gov/plans-and-climate/planning-healthy-places>).



**Attachment 3.**

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.

## Attachment 4.

**One Bay Area Grant Cycle 2 (OBAG 2)**  
**Draft San Francisco Call for Projects Schedule<sup>1</sup>**  
 Updated: January 11, 2017

January 25, 2017	<b>Citizens Advisory Committee Meeting - ACTION</b> OBAG 2 framework (e.g. approach, schedule, prioritization criteria)
February 14, 2017	<b>Plans and Programs Committee Meeting - ACTION</b> OBAG 2 framework (e.g. approach, schedule, prioritization criteria)
February 28, 2017	<b>Transportation Authority Board Meeting - ACTION</b> OBAG 2 framework (e.g. approach, schedule, prioritization criteria)
March 3, 2017	Transportation Authority Releases OBAG 2 Call for Projects
March 16, 2017	Project Sponsors Call for Projects Workshop 10:30 a.m. at Transportation Authority's offices, 1455 Market St, Floor 22 (immediately following Technical Working Group Meeting)
April 21, 2017	OBAG 2 Applications Due to the Transportation Authority
May 24, 2017	<b>Citizens Advisory Committee Meeting – ACTION</b> OBAG 2 project list
June 20, 2017	<b>Plans and Programs Committee Meeting – ACTION</b> OBAG 2 project list
June 27, 2017	<b>Transportation Authority Board Meeting – ACTION</b> OBAG 2 project list
July 31, 2017	OBAG 2 Recommendations Due to MTC
August 31, 2017	Resolution of Local Support and Transportation Improvement Program (TIP) entry due to MTC

\*Meeting dates and times are subject to change. Please check Transportation Authority's website for most up-to-date schedule ([www.sfcta.org/agendas](http://www.sfcta.org/agendas)).



# Memorandum

**Date:** 02.06.2017 **RE:** Plans and Programs Committee  
February 14, 2017

**To:** Plans and Programs Committee: Commissioners Tang (Chair), Farrell (Vice Chair), Breed, Safai, Sheehy and Peskin (Ex Officio)

**From:** Amber Crabbe – Assistant Deputy Director for Policy and Programming *Ac*

**Through:** Tilly Chang – Executive Director *TC*

**Subject:** **ACTION** – Recommend Adoption of the One Bay Area Grant Program Cycle 2 San Francisco Call for Projects Framework

## Summary

This is the second cycle of the Metropolitan Transportation Commission's (MTC's) One Bay Area Grant program (OBAG 2) for which the Transportation Authority has \$44.2 million to program over the next five fiscal years (2017/18–2021/22). The OBAG program directs federal funding to projects and programs that integrate the region's transportation program with California's climate law and Plan Bay Area, the Regional Transportation Plan/Sustainable Communities Strategy. About 45% of OBAG funds are directed to congestion management agencies (CMAs), such as the Transportation Authority. Provided that the CMAs comply with rather extensive OBAG requirements (such as requiring that at least 70% of San Francisco OBAG funds must be invested in our Priority Development Areas shown in Attachment 1), CMAs have flexibility to program funds to a wide variety of project types from transit capacity and enhancement projects to pedestrian and bicycle safety projects to street resurfacing. For San Francisco's \$44.2 million, we propose assigning \$1.9 million for CMA planning activities (consistent with Cycle 1, augmenting the base amount of CMA planning funds we receive from MTC), \$1.797 million for Safe Routes to School (MTC-guaranteed minimum) with priority to non-infrastructure projects (which have limited discretionary funding opportunities), and the remaining \$40.489 million for a competitive call open to all OBAG-eligible projects. In addition to MTC's required selection criteria, we propose retaining most of the Board-approved OBAG Cycle 1 criteria and adding new criteria that reflect the City's growing need to address core capacity and reliability improvements. Approval of the proposed approach will allow us to release the call for projects in early March 2017. The recommended project list would come back to the to the Board for approval in June, enabling us to submit with the list and related documentation to MTC by its July deadline.

## BACKGROUND

In May 2012, the Metropolitan Transportation Commission (MTC) adopted the One Bay Area Grant Cycle 1 (OBAG 1) funding and policy framework for programming the region's federal transportation funds. This was the first effort to better integrate the region's transportation program with California's climate law and Plan Bay Area (PBA), the Regional Transportation Plan/Sustainable Communities Strategy. OBAG 1 established funding commitments and policies for various regional and county programs to reward jurisdictions that accept housing allocations through the Regional Housing Need Allocation (RHNA) process and that have historically produced housing. It also promoted transportation investments in Priority Development Areas (PDAs) (see Attachment 1) that are targeted for growth and

increased programming flexibility for local agencies. Through the OBAG 1 County Program, the Transportation Authority programmed \$38.8 million for CMA Planning activities and seven competitively selected projects reflecting a focus on complete streets and safety. The projects and their status are shown in Attachment 2.

In November 2015, MTC adopted the OBAG Cycle 2 (OBAG 2) framework, which was revised in July 2016 to distribute additional revenues and incorporate housing-related program elements. OBAG 2 maintains largely the same framework and policies as OBAG 1, building on progress made by OBAG 1 by making some refinements that attempt to address the region's growing challenge with the lack of housing and affordable housing, in particular. For instance, compared to OBAG 1, the OBAG 2 County Program funding distribution formula places additional emphasis on housing production and the share of affordable housing and expands the definition of affordable housing to include housing for moderate-income households in addition to low- and very low-income households. MTC continues to require 70% of the OBAG 2 County Program funding be invested to projects in PDAs for urbanized counties like ours. San Francisco's PDAs are shown in Attachment 1.

As the CMA for San Francisco, the Transportation Authority is responsible for managing San Francisco's OBAG 2 County Program.

## DISCUSSION

The purpose of this memorandum is to present our proposed approach San Francisco's OBAG 2 call for projects and to seek a recommendation to approve the call for projects framework. The framework is comprised of a proposed funding distribution for the overall county share program, screening and prioritization criteria, and a call for projects schedule. MTC's OBAG 2 guidelines lay out most of the project selection requirements, including screening and prioritization criteria, eligible project types and sponsors, and public outreach, all of which are intended to comply with federal requirements and meet the goals of OBAG.

**Funds Available and Eligible Projects:** San Francisco's share of the OBAG2 county program is \$44.186 million which is available for programming over the next five fiscal years (Fiscal Year 2017/18–2021/22). Our proposed distribution of those funds is summarized in the table below.

**Table 1.**

<b>San Francisco OBAG 2 County Program Funding Approach (millions \$)</b>	
CMA planning augmentation	\$ 1.900
Safe Routes to School (SRTS)	\$ 1.797
Countywide OBAG 2	\$40.489
<b>TOTAL</b>	<b>\$44.186</b>

**CMA Planning Augmentation:** CMAs are required to perform various planning, funding programming, monitoring, and outreach functions in compliance with regional, state, and federal requirements. While CMAs' responsibilities have increased to support the OBAG framework and the proliferation of different MTC funding programs and related requirements, state funds that used to supplement this type of the activities have been significantly reduced. As was done in OBAG 1, MTC sets aside a minimum base of funds for CMAs' planning activities (\$3.997 million for San Francisco

over the five-year OBAG cycle) and continues to allow CMAs to designate additional funding from their County Program to augment their planning efforts. We recommend augmenting CMA planning funds by \$1.9 million, a level that is consistent with OBAG 1 and comparable to other urban counties, such as Alameda, San Mateo, and Santa Clara.

**Safe Routes to School (SRTS):** MTC has assigned the guaranteed funding amount for SRTS based on each county's total kindergarten through 12<sup>th</sup> grade enrollment. That amount for San Francisco is \$1.797 million (7.2% of the regional total using FY 2013-14 data as the base year). MTC allows funding both infrastructure projects and non-infrastructure programs (e.g. education and outreach). Given very limited funding sources for non-infrastructure programs, we recommend prioritizing non-infrastructure programs with this dedicated SRTS funding. This does not preclude SRTS infrastructure projects or non-infrastructure programs from competing for additional OBAG 2 funds.

**Countywide OBAG 2:** For the remaining \$40.489 million in County Program funds, we will select projects through a transparent and competitive process, as required by MTC. Eligible project types include but are not limited to transit expansion, reliability and access improvements; smart system management; transportation demand management (including education/outreach); safety and streetscape improvements; street resurfacing; SRTS; and PDA planning and implementation. The proposed screening and prioritization criteria described in the section below capture the particular emphasis we suggest for OBAG 2.

**Screening and Prioritization Criteria:** Attachment 2 describes our proposed screening and prioritization criteria. Most of these are required by the MTC guidelines. Elements that we have proposed to be added to the San Francisco call for projects are listed in italics. The proposed prioritization criteria retain most of the Board-approved criteria that we used for OBAG 1, such as the PDA focus requiring at least 70% of the funds to be invested in PDAs (net of the SRTS guaranteed minimum), multi-modal benefits, multiple project coordination, and safety. In particular, given the challenge of meeting the timely use of funds requirements as evidenced in OBAG 1, we will continue to give strong consideration to project readiness.

In addition, we propose adding new criteria that reflect the City's growing needs in core capacity and reliability improvements (e.g. Muni Metro, Transbay, Peninsula corridors), a need which was also identified in the San Francisco Transportation Plan and in Plan Bay Area.

Since we are also conducting calls for projects for two other funding programs (Prop AA Vehicle Registration Fee and Transportation for Clean Air County Program) in an overlapping timeframe, we will consider the amount and timing of funding availability of all three funding programs, as well as their specific requirements and purposes, in order to match projects with the most fitting funding sources as part of the application evaluation. We will also work with sponsors to identify and support Prop K allocations to provide all or a portion of the required local match. Other strategic considerations include upcoming funding opportunities through the MTC's anticipated Regional Measure 3 bridge toll revenue measure, MTC Climate Program, Air District's regional TFCA program and the California Air Resources Board's (CARB's) Cap and Trade program.

**Call for Projects Schedule and Outreach:** Following Board approval of the proposed framework, we anticipate releasing the call for projects on March 3. Attachment 3 shows the schedule by which we propose soliciting projects from sponsors, evaluating applications, and recommending the project list to the CAC in May and to the Plans and Programs Committee and Board in June. This schedule would enable us to submit our OBAG 2 priorities and required project documentation to MTC by its July 31 deadline.

Consistent with MTC's OBAG 2 guidelines, our public outreach will build on the City's recent coordinated efforts to identify its transportation priorities for the Plan Bay Area and new revenue measures, as well as project sponsors' public involvement activities to identify and refine their agency's priorities. In addition, for the OBAG 2 call for projects, our public outreach approach will include, but not be limited to the following:

- Public meetings of the Transportation Authority Board, the Plans and Programs Committee and CAC
- Proposed presentations and information sharing with the Pedestrian Safety Advisory Committee and Bicycle Advisory Committee (which will also satisfy OBAG 2 requirements to make Complete Streets Checklists for OBAG projects available to these groups prior to project selection)
- Stakeholder meetings
- Commissioner engagement, e.g. briefings, newsletters, coordination with project sponsors or constituents
- Outreach tools, e.g. OBAG 2 website ([www.sfcta.org/obag2](http://www.sfcta.org/obag2)), email, social media
- Multilanguage translations of materials and meetings as appropriate and also when requested

**Prerequisites to Accessing OBAG 2 Funds:** To access OBAG 2 funds, a local jurisdiction must demonstrate that its general plan's housing and complete streets policies are aligned and up-to-date by making a revision to the circulation element in compliance with the 2008 Complete Streets Act and having the housing element adopted and certified by the California Department of Housing and Community Development for 2014-2011 RHNA by May 2015. San Francisco has already satisfied both requirements. MTC also requires that CMAs update the PDA Investment & Growth Strategy by May 1, 2017. We are already working with the San Francisco Planning Department to complete this task by the due date and anticipate bringing it to the Transportation Authority Board for approval in April.

## ALTERNATIVES

1. Recommend adoption of the OBAG 2 San Francisco Call for Projects Framework, as requested.
2. Recommend adoption of the OBAG 2 San Francisco Call for Projects Framework, with modifications.
3. Defer action, pending additional information or further staff analysis.

## CAC POSITION

The CAC was briefed on this item at its January 25, 2017 meeting and unanimously adopted a motion of support for the staff recommendation.

## FINANCIAL IMPACTS

The recommended action would have no impact on the adopted Fiscal Year 2016/17 budget.

## RECOMMENDATION

Recommend adoption of the OBAG 2 San Francisco Call for Projects Framework.

Attachments (4):

1. San Francisco Priority Development Areas
2. OBAG Cycle 1 Project List
3. Draft OBAG 2 Screening and Prioritization Criteria
4. Draft OBAG 2 Call for Projects Schedule

**Attachment 2**  
**One Bay Area Grant (OBAG) Cycle 1 Project List**  
**January 2017**

Project Name (Sponsor)	Description	Construction Start	Open for Use	Total Project Cost	OBAG Funds as Last Amended
Broadway Chinatown Streetscape Improvement (San Francisco Public Works (SFPW))	Design and construct a complete streets project on Broadway from Columbus to the Broadway Tunnel, including bulb-outs, special crosswalk paving, new medians, street trees, bus stop improvements, and repaving.  Construction is 5% complete.	June 2016	April 2017	\$7,102,487	\$3,477,802 <sup>1,3</sup>
ER Taylor Elementary School Safe Routes to School (SFPW)	Design and construct four pedestrian bulb outs at the intersection of Bacon and Gottingen near ER Taylor Elementary School to improve pedestrian safety.  The project is open for use.	June 2015	November 2015	\$604,573	\$400,115 <sup>3,4</sup>
Longfellow Elementary School Safe Routes to School (SFPW)	Design and construct pedestrian safety improvements at the intersections of Mission & Whittier, Mission & Whipple, and Mission & Lowell near Longfellow Elementary School.  The project is open for use.	August 2015	March 2016	\$852,855	\$670,307
Mansell Corridor Improvement (San Francisco Municipal Transportation Agency (SFMTA))	Design and construct of a complete streets project on Mansell Street from Visitacion Avenue to Brazil Street including reduction in number of vehicular lanes and creating a multiuse path for pedestrians and bicyclists.  The project is open for use.	September 2015	January 2017	\$6,807,348	\$1,762,239
Masonic Avenue Complete Streets (SFMTA)	Construct complete streets improvements on Masonic Avenue from Fell to Geary, including reallocation of space to calm traffic, dedicated bicycle space (raised cycle track), and pedestrian enhancements.  Construction is 23% complete.	February 2016	April 2018	\$22,785,900	\$0 <sup>2</sup>
Second Street Streetscape Improvement (SFPW)	Design and construct of a complete streets project on Second Street from Market to Townsend, including pedestrian safety improvements, a buffered cycle track, landscaping, and repaving.  Construction contract was advertised in December 2016.	May or June 2017	March 2019	\$15,415,115	\$10,567,997 <sup>4</sup>
Transbay Transit Center Bike and Pedestrian Improvements (Transbay Joint Powers Authority)	Construct pedestrian and bicycle projects associated with the Transbay Transit Center, including a pedestrian walkway, sidewalks, path-finding signage, real time passenger information, bike racks and channels, pedestrian lighting, and public art.  OBAG work will be implemented as part of various construction contracts for the Transbay Transit Center project.	January 2017	December 2017	\$11,480,440	\$6,000,000
Light Rail Vehicle (LRV) Procurement (SFMTA)	Purchase 175 replacement LRVs and 25 expansion LRVs to help meet projected vehicle needs through 2020, including for the Central Subway.  Design is 95% complete. Production of the first new LRVs is underway.	September 2014 (procurement)	Through 2020	\$175,000,000	\$10,227,540 <sup>2</sup>



**Attachment 2**  
**One Bay Area Grant (OBAG) Cycle 1 Project List**  
**January 2017**

Project Name (Sponsor)	Description	Construction Start	Open for Use	Total Project Cost	OBAG Funds as Last Amended
Lombard Street US-101 Corridor Improvement (SFPW)	Design and construct safety improvements along Lombard Street between Van Ness Avenue and Richardson Avenue, including curb extensions (pedestrian and transit bulb-outs), daylighting at intersections, signal timing improvements, advance stop bars and high visibility curb crosswalks.  Design is 75% complete.	November 2017	February 2019	\$17,465,000	\$1,910,000 <sup>1</sup>

**Total OBAG: \$35,016,000**

<sup>1</sup> \$1.91 million in OBAG funds were swapped with SFMTA local revenue bond funds because the OBAG funds were unavailable when needed. In October 2015, the Transportation Authority Board reprogrammed the OBAG funds to SFPW's Lombard Street US-101 Corridor Improvement via 2016 Regional Transportation Improvement Program, as requested by SFMTA and SFPW.

<sup>2</sup> In order to minimize risk of losing federal funds due to project delays, in February 2015, the Transportation Authority Board reprogrammed \$10,227,540 in OBAG funds from SFMTA's Masonic Avenue project to the LRV Procurement project, with the condition that SFMTA continue to follow OBAG reporting requirements for the Masonic Avenue project. See the Plans and Programs Committee memo (February 3, 2015) and Resolution 15-42 for more detail.

<sup>3</sup> On December 15, 2015, the Transportation Authority Board approved SFPW's request to reprogram \$67,265 cost savings from the recently completed ER Taylor SR2S to Chinatown Broadway, which has received a higher-than-anticipated bid to its original construction contract advertisement.

<sup>4</sup> On June 28, 2016, the Transportation Authority Board approved SFPW's request to reprogram additional \$51,215 from the completed ER Taylor SR2S to Second Street to cover the cost of the pedestrian lighting, which has been added per the community's request.



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## ORDINANCE AMENDING THE ADMINISTRATIVE CODE

WHEREAS, The Transportation Authority's Administrative Code prescribes the powers and duties of its commissioners, the method and appointment of its employees, and the policies and systems of its operation and management; and

WHEREAS, The Administrative Code was last amended on June 28, 2016 through Ordinance 16-01; and

WHEREAS, Per direction from Chair Peskin, staff has proposed amendments to the Administrative Code, with assistance from legal counsel, that include changes to the Board process, particularly the committee structure, in addition to routine edits to update and clarify procedures and keep consistent with state and local government codes; and

WHEREAS, At its February 28, 2017 meeting, the Board reviewed and discussed the proposed Administrative Code changes; now, therefore, be it

RESOLVED, That the Transportation Authority hereby amends the Administrative Code as presented in Attachment 1; and be it further

RESOLVED, That the Executive Director is hereby authorized to distribute the amended Administrative Code to all relevant agencies and interested parties.

Attachment:

1. Proposed Administrative Code



## ADMINISTRATIVE CODE

### SECTION 1. TITLE AND AUTHORITY.

This Ordinance is enacted pursuant to the provisions of California Public Utilities Code Section 131265, and may be referred to as the “San Francisco County Transportation Authority Administrative Code.” This Ordinance prescribes the powers and duties of ~~officers~~commissioners of the San Francisco County Transportation Authority (Transportation Authority); the method of appointment of employees of the Transportation Authority; and the policies, and systems of operation and management of the Transportation Authority.

### SECTION 2. DUTIES OF THE TRANSPORTATION AUTHORITY.

The Transportation Authority shall have the power, authority, and duty to do all things necessary and required to accomplish the stated purposes and goals of Division 12.5 of the California Public Utilities Code, also known as the Bay Area County Traffic and Transportation Funding Act, including the following:

- (a) ~~The Transportation Authority shall administer~~Administer the Transportation Expenditure Plan which became effective upon approval by the voters as Proposition B on November 7, 1989 ~~of Proposition B~~, as superseded by the New Transportation Expenditure Plan which became effective upon adoption by the voters as Proposition K on November 4, 2003 ~~of Proposition K~~, which extended the sales tax implemented by Proposition B for a 30-year period.
- (b) ~~The Transportation Authority shall adopt~~Adopt an annual budget by June 30 and fix the compensation of its ~~officers~~commissioners and employees. The compensation of ~~Transportation Authority Officers~~commissioners shall be as provided in Section 3.2 herein.
- (c) ~~The Transportation Authority shall cause~~Cause a post audit of its financial transactions and records at least annually by a certified public accountant.
- (d) ~~The Transportation Authority shall prepare~~Prepare and adopt an annual report by January 31 of each year on the progress to achieve the objectives of completion of the projects in the Transportation Expenditure Plan.
- (e) ~~The Transportation Authority shall conduct~~Conduct an employee performance evaluation of the Executive Director by December 31 of each year for the Executive Director’s work performance for the current year.
- (f) ~~The Transportation Authority shall perform~~Perform other related responsibilities, including but not limited to (i) serving as the county program manager for the Transportation Fund for Clean Air, (ii) serving as the county Congestion Management Agency, and (iii) administering Proposition AA projects.

### SECTION 3. POWERS AND DUTIES OF THE TRANSPORTATION AUTHORITY ~~OFFICERS~~COMMISSIONERS.

The eleven members of the Board of Supervisors of the City and County of San Francisco ~~(City)~~ shall be the ~~commissioners~~officers of the Transportation Authority. They shall be known as “Commissioners” individually, and as the Board of Commissioners, or Board, collectively.”



- (a) A Commissioner may designate another local elected official who represents the citizens of the City and County of San Francisco to serve as his or her alternate. The designation shall be made in writing to the Chair~~person~~ of the Transportation Authority and shall become effective when delivered. The alternate's term of office shall be the same as that of the regular member. When the regular member is not present at ~~the a~~ meeting of the Transportation Authority, the alternate may act as the regular member and shall have all the rights, privileges, and responsibilities of the regular member, including compensation for the meeting.
- (b) Chair~~person~~. The Chair~~person~~ shall possess the following powers and duties:
1. To preside at all meetings;
  2. To appoint the membership and the Chair~~person~~ and Vice-Chair~~person~~ of the committees of the Transportation Authority, except for the Citizens Advisory Committee;
  3. To decide the agenda of ~~Transportation Authority~~Board meetings;
  4. To sign contracts, deeds, and other instruments on behalf of the Transportation Authority; and
  5. To perform such additional duties as may be designated by the Transportation Authority.
- (c) Vice-Chair~~person~~. The Vice-Chair~~person~~ shall perform the duties of the Chair~~person~~ in the absence or incapacity of the Chair~~person~~.

#### SECTION 3.1. Method of Appointment of the Transportation Authority Officers.

- (a) The Chair~~person~~ shall be elected at the first meeting of the Transportation Authority, and thereafter, after the first complete calendar year, annually at the first meeting in January. The newly appointed Chair shall immediately preside following his or her election at the same meeting.
- (b) The Vice-Chair~~person~~ shall be elected at the first meeting of the Transportation Authority, and thereafter, after the first complete calendar year, annually at the first meeting in January.
- (c) If the Chair~~person~~ or Vice-Chair~~person~~ resigns or is removed from office, the election for Chair~~person~~ or Vice-Chair~~person~~ to serve the remainder of the term, shall be at the next meeting of the Transportation Authority. Except as provided in Section 3.2(a) below, the Chair and Vice Chair shall serve without compensation but shall be entitled to reimbursement as provided in Section 3.2(b) below.

#### SECTION 3.2. Compensation of Commissioners.

- (a) As required by the provisions of California Public Utilities Code Section 131268, ~~Transportation Authority~~ Commissioners or their alternates shall be compensated at the rate of \$100 for each day attending the business of the Transportation Authority, but not to exceed \$400 in any month, for any of the following occurrences that are related to business of the Transportation Authority:
1. A meeting of the legislative body;
  2. A meeting of an advisory body;
  3. A conference or organized educational activity, including ethics training; or



4. Any other occurrence, if the Transportation Authority has adopted a written policy in a public meeting specifying that the attendance at such occurrence would constitute the performance of official duties for which ~~Transportation Authority~~ Commissioners may receive compensation.
- (b) Commissioners shall receive reimbursement for necessary travel and personal expenses incurred in the performance of their duties when such expenses are authorized in advance and as set forth in the Transportation Authority's adopted Travel, Conference, Training and Business Expense Reimbursement Policy.

#### SECTION 4. STAFF TO THE TRANSPORTATION AUTHORITY.

- (a) Executive Director. The ~~Transportation Authority~~Board shall appoint the Executive Director, who shall serve at the pleasure of the ~~Transportation Authority~~Board. The Executive Director shall possess the power and duty to administer the business of the Transportation Authority, including the following powers and duties:
1. To supervise and direct preparation of the annual ~~draft~~ budget for the Transportation Authority;
  2. To formulate and present plans for implementation of the Transportation Expenditure Plan ~~of the Transportation Authority~~, including establishment of project priorities within the priorities set by the plan, and the means to finance them;
  3. To provide guidance ~~to and to~~, monitor and coordinate the activities of the project sponsors to ensure that the projects are completed;
  4. To submit to the ~~Transportation Authority~~Board each year a complete report of the finances and administrative activities of the Transportation Authority for the preceding year;
  5. To direct the preparation and administration of purchase orders and contracts for goods and services, to execute contracts for goods, materials and services, including support services, and agreements with sponsoring agencies where estimated expenditures thereunder do not exceed \$75,000 and to execute any agreements with sponsoring agencies where sufficient funding for such is available in the Transportation Authority's budget;
  6. To administer the personnel system of the Transportation Authority, including hiring, controlling, supervising, promoting, transferring, suspending with or without pay or discharging any employee. To this end, the Executive Director shall prepare and maintain a personnel manual, stating the rules of employment of the Transportation Authority, and methods of compensation established by the Transportation Authority (Personnel Manual); and
  7. To provide the day-to-day administration of the Transportation Authority and to perform such other and additional duties as the Transportation Authority may prescribe.
- (b) Chief Deputy Director. The Executive Director shall appoint a Chief Deputy Director. In the event of the Executive Director's temporary absence, disability or unavailability or during a vacancy in that position, the Chief Deputy Director shall act as the Executive Director.



- (c) Additional Staff. The Executive Director may create additional staff positions subject to the approval of the ~~Transportation Authority Board~~. Duties shall be defined by the Executive Director and shall be contained in a written job description. The Executive Director shall appoint additional staff members to approved positions. All employees are “at-will” employees and serve at the pleasure of the Executive Director.

#### SECTION 4.1 Benefits for Employees.

The Transportation Authority may contract with the appropriate agencies of the State of California to provide retirement and health benefits for its employees or with any other retirement or health system which it determines is in the best interests of its employees, and in accordance with applicable state and federal laws.

#### SECTION 4.2 Rules of Employment.

The Executive Director or his or her designee shall administer the personnel policies of the Transportation Authority as set forth in the Personnel Manual. The Executive Director shall take all necessary actions to hire, promote, transfer, suspend with or without pay, or discharge any employee in accordance with the procedures in the Personnel Manual.

### SECTION 5. METHODS, PROCEDURES AND SYSTEMS OF OPERATION AND MANAGEMENT.

#### ~~SECTION 5.1 Meetings and Rules of Procedure.~~

- ~~(a) All proceedings of the Transportation Authority shall be in conformance with the provisions of the Bay Area County Traffic and Transportation Funding Act (Sections 131000 et seq. of Division 12.5 of the California Public Utilities Code), the San Francisco County Transportation Authority Reauthorization Ordinance (Article 14, commencing with Section 1401 of the San Francisco Business and Tax Regulations Code), and San Francisco Transportation Expenditure Plan adopted by the voters as Proposition B on November 7, 1989, as superseded by the New Transportation Expenditure Plan adopted by the voters as Proposition K on November 4, 2003, and this Administrative Code.~~
- ~~(b) Except as otherwise determined by the Transportation Authority, regular meetings of the Transportation Authority shall be held on the fourth Tuesday of each month in the Legislative Chamber of City Hall or other location as designated with proper notice by the Transportation Authority, except when that day or any preceding Tuesday that month is a holiday, in which case the meeting shall be held on the following Tuesday.~~
- ~~(c) The acts of the Transportation Authority shall be expressed by motion, resolution or ordinance.~~
- ~~(d) The majority of the members of the Transportation Authority shall constitute a quorum for the transaction of business, and all official acts of the Transportation Authority shall require the affirmative vote of a majority of all the members of the Transportation Authority.~~
- ~~(e) All meetings of the Transportation Authority shall be conducted in the manner prescribed by the Ralph M. Brown Act (Chapter 9 commencing with Section 54950 of Part 1 of Division 2 of Title 5 of the Government Code) and the Transportation Authority’s adopted Sunshine Policy.~~



SECTION 5.21 Committees of the Transportation Authority.

~~(a) Plans and Programs Committee. The Chairperson of the Transportation Authority shall appoint a Plans and Programs Committee which shall be composed of five Commissioners. Except as otherwise determined by the Chairperson of the Committee, regular meetings shall be held on the third Tuesday of each month in the Committee Room of City Hall or other location as designated with proper notice by the Transportation Authority, except when that day or any preceding Tuesday that month is a holiday, in which case the meeting shall be held on the following Tuesday. The responsibilities of this Committee shall include the following:~~

- ~~1. To review projects and programs contained in the Transportation Expenditure Plan and recommend fund allocations to the Transportation Authority for their implementation in accordance with the priorities established by the Transportation Expenditure Plan;~~
- ~~2. To recommend fund allocations for the Transportation Fund for Clean Air program to the Transportation Authority;~~
- ~~3. To monitor project implementation;~~
- ~~4. To review the transportation plans of all City transportation agencies;~~
- ~~5. To recommend to the Transportation Authority programming of relevant federal and state funds;~~
- ~~6. To review and make recommendations on any policies necessary for the implementation of the Transportation Authority's plans and programs;~~
- ~~7. To review and make recommendations on the adoption of a Congestion Management Program and any other plans and programs for which the Transportation Authority has responsibility;~~
- ~~8. To recommend the allocation of funds to Proposition AA projects, in accordance with the Strategic Plan on the timing of expenditures, and to monitor and expedite delivery of Proposition AA projects;~~
- ~~9. To review and make recommendations on the filling of appointments and to monitor the efforts of the Citizens Advisory Committees.~~

~~(b) Finance Committee. The Chairperson of the Transportation Authority shall appoint a Finance Committee which shall be composed of five Commissioners. Except as otherwise determined by the Chairperson of the Committee, regular meetings shall be held on the second Tuesday of each month in the Committee Room of City Hall or other location as designated with proper notice by the Transportation Authority, except when that day is a holiday, in which case the meeting shall be held on the following Tuesday. The responsibilities of this Committee shall include the following:~~

- ~~1. To set the parameters (spending limits) of the Transportation Authority's annual budget, which shall include but not be limited to the detailed Administrative Operating Expenses, Debt Service (if applicable), and a single line item for Capital Expenditures; and recommend to the Transportation Authority the adoption of the budget and any necessary budget revisions, including any mid-year adjustments in the budget due to revisions in revenues and/or expenses;~~





- ~~2. To track, review and make recommendations on pending or proposed federal, state, and local legislation;~~
  - ~~3. To review and recommend long-range financial planning for the Transportation Authority;~~
  - ~~4. To review Transportation Authority investments, audits, and financial reports prepared by staff and to make any necessary recommendations to the Transportation Authority;~~
  - ~~5. To make recommendations to the Transportation Authority concerning the issuance of bonds;~~
  - ~~6. To review and make recommendations on any fiscal/procurement policies of the Transportation Authority;~~
  - ~~7. To review and recommend, as appropriate, the award of contracts requiring the approval of the Board of Commissioners (Board);~~
  - ~~8. To monitor and make recommendations on pending or proposed litigation; and~~
  - ~~9. To monitor Transportation Authority implementation of adopted policies.~~
- ~~(e)(a)~~ Personnel Committee. The Chair~~person of the Transportation Authority~~ shall appoint a Personnel Committee which shall be composed of the Chair~~person and Vice-Chair~~ of the Transportation Authority, and ~~the Chairpersons of the Plans and Programs and Finance Committees~~the City and County of San Francisco's representative to the Metropolitan Transportation Commission (MTC), as appointed by the San Francisco Board of Supervisors. If the MTC representative is also the Chair of the Board, the Chair shall be able to appoint a third member to the Personnel Committee. The ~~Transportation Authority Chairperson~~ or his or her designee shall serve as the Chair~~person and a voting member~~ of the Personnel Committee. Two members shall constitute a quorum and all official acts of the Personnel Committee shall require the affirmative vote of a majority of the authorized number of members of the Committee. Meetings of the Personnel Committee shall be held at the call of the ~~Committee Chairperson~~. The responsibilities of this Committee shall include the following:
1. To make recommendations on the hiring, firing, and employment status of the Executive Director of the Transportation Authority;
  2. To conduct annual performance evaluations of the Executive Director; and
  3. To make recommendations on the Transportation Authority's policies and actions related to staffing levels, job specifications, compensation ranges and employment conditions.
- ~~(d)(b)~~ Additional Committees. The ~~Transportation Authority Board~~ may create, and the Chair~~person of the Transportation Authority~~ shall appoint the membership of select committees established consistent with the following criteria:
1. The committee shall have a clear, simple, narrow, single statement of purpose;
  2. The committee will be created for a specified maximum period of time; and
  3. The size of the committee will be no less than three nor more than five Commissioners, based on the committee purpose.



~~(e)(c)~~ Transportation Authority Committee Procedures. The Chair shall be eligible to be appointed and to serve on each Committee established under this Code as a voting, regular member. In addition to the regular members of each Committee, with the exception of the Personnel Committee, If not appointed as a regular member of a Committee, the Transportation Authority Chairperson shall serve on each Transportation Authority Committee established under this Code or any select committee established by the Transportation Authority, as a non-voting, ex-officio member, except that the Chairperson shall serve as a voting member when his or her presence is necessary in order to constitute a quorum. With the exception of the Personnel Committee, three a majority of the authorized number of members of the a Transportation Authority committee shall constitute a quorum for the transaction of business and all official acts of the Transportation Authority committee shall require the affirmative vote of the majority of the authorized number of members of the committee. In the case of a tie vote in any Transportation Authority committee, the Transportation Authority Chairperson, who is if present but not acting as a voting member, may cast the deciding vote. If the Chair's presence as a nonvoting ex-officio member causes a majority of the members of the full Board to be present, the committee meeting shall be recessed, if necessary, and the meeting convened or reconvened as a special Board meeting.

SECTION 5.32. Citizen Advisory Committees.

(a) Citizens Advisory Committee. The ~~Transportation Authority Board~~ shall appoint eleven members to a Citizens Advisory Committee. This Committee shall include representatives from various segments of the community, such as public policy organizations, labor, business, senior citizens, the disabled, environmentalists, and the neighborhoods, and reflect broad transportation interests. The Committee members shall be residents of San Francisco and shall serve without compensation for a two-year period. Any member who is absent for four of any twelve regularly scheduled consecutive meetings shall be automatically terminated. Any resulting vacancy shall be filled for a new two-year period. Any terminated member who wishes to be reappointed shall contact his or her district Supervisor and shall reappear before the ~~Plans and Programs Committee Board~~ to speak on his or her behalf. This Committee shall meet at least quarterly and all meetings shall be open to the public. The regular meetings of the Committee shall be held on the fourth Wednesday of each month at 6:00 p.m. at the Transportation Authority's offices at 1455 Market Street, Floor 22, San Francisco, California. The staff of the Transportation Authority will be available to assist the Committee. This Committee shall ~~assist provide input to~~ the Transportation Authority in:

1. Defining the mission of the Transportation Authority;
2. Reflecting community values in the development of the mission and program of the Transportation Authority, and channeling that mission and program back to the community;
3. Defining criteria and priorities for implementing ~~the Transportation Expenditure Plan program consistent with the intention of Proposition B, as amended and superseded by~~ the New Transportation Expenditure Plan program consistent with the intention of Proposition K; and
4. Monitoring the Transportation Authority's programs and evaluating the sponsoring agencies' productivity and effectiveness.



- (b) Additional Advisory Committees. The ~~Transportation Authority Board~~ may appoint any other advisory committees that it deems necessary.

SECTION 5.43 Contracts.

- (a) Contracts for the purchase of supplies, equipment and materials in excess of \$75,000 shall be awarded after a formal competitive procurement process in conformance with the Transportation Authority's adopted Procurement Policy.
- (b) Contracts for the purchase of services in excess of \$75,000 shall be awarded after a formal competitive procurement process in conformance with the Procurement Policy.
- (c) The Executive Director is authorized to contract for goods and services for an amount less than or equal to \$75,000 in conformance with the Procurement Policy. The Executive Director is authorized to amend contracts and agreements within the parameters specified in the Procurement Policy.
- (d) Where advantageous, the Transportation Authority may contract without initiating a competitive procurement process with the City to render designated services or to provide materials on behalf of the Transportation Authority.
- (e) All contracts shall reflect the Disadvantaged Business Enterprise/Local Business Enterprise goals, if applicable and as permitted by law, and Equal Benefits provisions adopted by the Transportation Authority.

SECTION 5.54 Procedures for Implementing the California Environmental Quality Act.

**SECTION 5.54.1. Authority and Mandate.**

- (a) This Section 5.54 is adopted pursuant to the California Environmental Quality Act, Public Resources Code Sections 21000 and following, as amended; and pursuant to the Guidelines for Implementation of the California Environmental Quality Act, as amended, appearing as Title 14, Division 6, Chapter 3 of the California Code of Regulations (hereinafter referred to collectively as "CEQA").
- (b) Any amendments to CEQA adopted subsequent to the effective date shall not invalidate any provision of this Section 5.54. Any amendments to CEQA that may be inconsistent with this Section 5.5 shall govern until such time as the relevant provision is amended to remove such inconsistency.
- (c) This Section 5.54 shall govern in relation to all other ordinances of the Transportation Authority and rules and regulations pursuant thereto. In the event of any inconsistency, the provisions of this Section 5.54 shall prevail.

**SECTION 5.54.2. Incorporation by Reference.**

The provisions of CEQA are not repeated here, but are expressly incorporated herein by reference as though fully set forth.

**SECTION 5.54.3. Responsibility.**



The administrative actions required by CEQA with respect to the preparation of environmental documents, giving of notice and completing other activities shall be performed by staff of the Transportation Authority or by consultants under the direction of the Transportation Authority. These activities may include, but are not limited to:

- (a) Preparing any necessary forms, checklists and processing guidelines to implement CEQA in accordance with this Section 5.54;
- (b) Determining excluded and exempt activities which are not subject to CEQA;
- (c) Determining when a negative declaration or environmental impact report (EIR) is required when acting as a lead agency or as is otherwise required by CEQA;
- (d) Ensuring that agencies and other interested parties are consulted and have an opportunity to comment during the CEQA process when acting as a lead agency or as is otherwise required by CEQA;
- (e) Preparing environmental documents and notices when acting as a lead agency or as is otherwise required by CEQA;
- (f) Consulting, providing comments, and attending hearings as necessary on behalf of the Transportation Authority when it acts as a responsible agency under CEQA; and
- (g) Ensuring coordination with federal lead and responsible agencies when project review is required under both CEQA and the National Environmental Policy Act (“NEPA”).

#### **SECTION 5.54.4. List of Non-Physical and Ministerial Projects.**

The Transportation Authority shall maintain a list of types of ministerial projects excluded from CEQA. Such lists shall be modified over time as the status of types of projects may change under applicable laws, ordinances, rules and regulations. The list shall not be considered totally inclusive, and may at times require refinement or interpretation on a case-by-case basis. The list of ministerial projects and modifications thereto shall be kept posted in the offices of the Transportation Authority, and copies shall be sent to the Board.

#### **SECTION 5.54.5. Categorical Exemptions.**

The Transportation Authority shall maintain a list of types of projects ~~which~~that are categorically exempt from CEQA. This list shall be kept posted in the offices of the Transportation Authority, with updated copies sent to the Board. The list shall be kept up to date in accordance with any changes in CEQA.

#### **SECTION 5.54.6. Initial Evaluation of Projects**

- (a) For projects that are not statutorily excluded or categorically exempt from CEQA, an initial study shall be prepared to establish whether a negative declaration or an EIR is required prior to the decision as to whether to carry out or approve the project. If it is clear at the outset that an EIR is required, however, such determination may be made immediately and no initial study shall be required.
- (b) Each initial study shall meet the requirements of CEQA with respect to contents and consultation with Responsible and Trustee Agencies. During preparation of the initial



study, the Transportation Authority may consult with any person having knowledge or interest concerning the project.

- (c) If a project is subject to both CEQA and NEPA, an initial evaluation prepared pursuant to NEPA may be used to satisfy the requirements of this Section.
- (d) Based on the analysis and conclusions in the initial study, the Transportation Authority shall determine, based on the requirements of CEQA, whether there is substantial evidence that any aspect of the project may cause a significant effect on the environment, and whether a negative declaration or and EIR shall be prepared.

#### **SECTION 5.54.7. Negative Declarations or Mitigated Negative Declarations.**

- (a) When a negative declaration is required, it shall be prepared by or at the direction of the Transportation Authority. All CEQA requirements governing contents, notice, and recirculation shall be met.
- (b) The Board shall review and consider the information contained in the final negative declaration, together with any comments received during the public review process, and, upon making the findings as provided in CEQA, shall adopt the negative declaration, prior to approving the project. If the Board adopts a mitigated negative declaration, it shall also adopt a program for reporting on or monitoring the mitigation measures for the project that it has either required or made a condition of approval to mitigate or avoid significant environmental effects.

#### **SECTION 5.54.8. Draft Environmental Impact Reports.**

- (a) If it is determined that a project may have a significant effect on the environment and that an EIR is required, the Transportation Authority shall prepare a Notice of Preparation and shall meet all requirements for notice and circulation as required by CEQA.
- (b) The EIR shall be prepared by or under the direction of the Transportation Authority. The EIR shall first be prepared as a draft report. During preparation of the draft EIR, the Transportation Authority may consult with any person having knowledge or interest concerning the project and shall meet all CEQA consultation requirements.
- (c) When the draft EIR has been prepared, the Transportation Authority shall file a Notice of Completion and shall provide public notice of the draft EIR, as required by CEQA. The comment period on draft EIRs shall meet the requirements of CEQA. The draft EIR shall be available to the general public upon filing of the Notice of Completion.
- (d) Public participation, both formal and informal, shall be encouraged at all stages of review, and written comments shall be accepted at any time up to the conclusion of the public comment period. The Transportation Authority may give public notice at any formal stage of the review process, beyond the notices required by CEQA, in any manner it may deem appropriate, and may maintain a public log as to the status of all projects under formal review. Members of the general public shall be encouraged to submit their comments in writing as early as possible.

#### **SECTION 5.54.9. Final Environmental Impact Reports.**



- (a) A final EIR shall be prepared in accordance with CEQA by, or at the direction of, the Transportation Authority, based upon the draft EIR, the consultations and comments received during the review process, and additional information that may become available.
- (b) In the judgment of the Board, if the final EIR is adequate, accurate and objective, and reflects the independent judgment and analysis of the Board, the Board shall certify its completion in compliance with CEQA. The certification of completion shall contain a finding as to whether the project as proposed will, or will not, have a significant effect on the environment.

#### **SECTION 5.54.10. Actions on Projects.**

- (a) Before making its decision whether to carry out or approve the project, the Board shall review and consider the information contained in the environmental document and shall make findings as required by CEQA.
- (b) After the Board has decided to carry out or approve a project, the Transportation Authority ~~may~~ shall file a notice of determination with the county clerk of the county or counties in which the project is to be located and as required by CEQA. Such notice shall contain the information required by CEQA. If required by CEQA, the notice of determination shall also be filed with the California Governor's Office of Planning and Research.

#### **SECTION 5.54.11. Additional Environmental Review.**

If the Transportation Authority or the Board determine that additional environmental review is required by CEQA, or if modifications to a project require additional environmental review, such review will be conducted as provided by CEQA and in accordance with the applicable procedures set forth in this Section 5.54.

#### **SECTION 5.54.12. Evaluation of Modified Projects.**

- (a) After evaluation of a proposed project has been completed, a substantial modification of the project may require reevaluation of the proposed project.
- (b) Where such a modification occurs as to a project that has been determined to be excluded or categorically exempt, a new determination shall be made. If the project is again determined to be excluded or categorically exempt, no further evaluation shall be required. If the project is determined not to be excluded or categorically exempt, an initial study shall be conducted as provided in Section 5.54.6.
- (c) Where such a modification occurs as to a project for which a negative declaration has been adopted or a final EIR has been certified, the Transportation Authority shall reevaluate the proposed project in relation to such modification. If, on the basis of such reevaluation, the Transportation Authority determines, based on the requirements of CEQA, that no additional environmental review is necessary, this determination and the reasons supporting the determination shall be noted in writing in the case record, and no further evaluation shall be required. If the Transportation Authority determines that additional environmental review is necessary, a new evaluation shall be completed prior to the decision by the Board as to whether to carry out or approve the project as modified.



CEQA sets forth specific requirements for the determination of whether a supplemental or subsequent EIR is necessary, as well as the applicable process.

**SECTION 5.54.13. Multiple Actions on Projects.**

- (a) The concept of a project is broadly defined by CEQA so that multiple actions of the same or of different kinds may often constitute a single project. This concept of a project permits all the ramifications of a public action to be considered together, and avoids duplication of review.
- (b) Early and timely evaluation of projects and preparation of EIRs shall be emphasized.
- (c) Only one initial study, negative declaration or EIR shall be required for each project.
- (d) Only one evaluation of a project or preparation of an EIR shall occur in cases in which both the Transportation Authority and one or more other public agencies are to carry out or approve a project. In such cases the evaluation or preparation is performed by the lead agency, which agency is selected by reference to criteria in CEQA.
- (e) CEQA provides that a single initial study, negative declaration or EIR may be employed for more than one project, if all such projects are essentially the same in terms of environmental effects. Furthermore, an initial study, negative declaration or EIR prepared for an earlier project may be applied to a later project, if the circumstances of the projects are essentially the same.
- (f) Reference is made in CEQA to simultaneous consideration of multiple and phased projects, related projects, cumulative effects of projects, projects elsewhere in the region, existing and planned projects.

**SECTION 5.54.14. Severability.**

- (a) If any article, section, subsection, paragraph, sentence, clause or phrase of this Section 5.54, or any part thereof, is for any reason held to be unconstitutional or invalid or ineffective by any court of competent jurisdiction, or other competent agency, such decision shall not affect the validity or effectiveness of the remaining portions. The Board hereby declares that it would have passed each article, section, subsection, paragraph, sentence, clause or phrase thereof, irrespective of the fact that any one or more articles, sections, subsections, paragraphs, sentences, clauses or phrases be declared unconstitutional or invalid or ineffective.
- (b) If the application of any provision or provisions of this Section 5.54 to any person, property or circumstances is found to be unconstitutional or invalid or ineffective in whole or in part by any court of competent jurisdiction, or other competent agency, the effect of such decision shall be limited to the person, property or circumstances immediately involved in the controversy, and the application of any such provision to other persons, properties and circumstances shall not be affected.
- (c) These severability provisions shall apply to this Section 5.54 as it now exists and as it may exist in the future, including all modifications thereof and additions and amendments thereto.



~~SECTION 6. PRINTING OF THE ADMINISTRATIVE CODE.~~

~~The Transportation Authority may provide for the printing of its administrative code and all subsequent amendments thereto.~~

SECTION 76. SEAL.

The Transportation Authority may provide for and adopt an official seal. The use of the seal of the Transportation Authority shall be for purposes directly connected with the official business of the Transportation Authority.



## RESOLUTION APPROVING THE REVISED RULES OF ORDER

WHEREAS, The Transportation Authority develops and implements policies and procedures to organize and formalize agency activities, and to ensure compliance with current statutes and agency objectives; and

WHEREAS, The Rules of Order establishes procedures to ensure that Board and committee meetings are conducted in a clear and efficient manner, while in compliance with current statutes and agency policies and objectives; and

WHEREAS, The Rules of Order was last revised on June 28, 2016 through Resolution 16-56; and

WHEREAS, Per direction from Chair Peskin, staff has proposed revisions to the Rules of Order, with assistance from legal counsel, that include changes to the Board process in addition to routine edits to update and clarify procedures and keep consistent with state and local government codes; and

WHEREAS, At its February 28, 2017 meeting, the Board reviewed and discussed the proposed Rules of Order changes; now, therefore, be it

RESOLVED, That the Transportation Authority hereby adopts the Rules of Order as presented in Attachment 1; and be it further

RESOLVED, That the Executive Director is hereby authorized to communicate the revised Rules of Order to all relevant agencies and interested parties.

Attachment:

1. Proposed Rules of Order



## RULES OF ORDER: CHAPTER 1. DEFINITIONS

- Rule 1.1 As used in these Rules, the following words and phrases shall have the meanings respectively ascribed to them by Rules 1.2 through 1.18.
- Rule 1.2 “Administrative Code” shall mean the San Francisco County Transportation Authority’s Administrative Code.
- Rule 1.3 “Adopted” in connection with proposed resolutions or ordinances, shall mean and include adoption of such proposed resolutions or ordinances by the San Francisco County Transportation Authority.
- ~~Rule 1.4 “Transportation Authority” shall mean the San Francisco County Transportation Authority.~~
- ~~Rule 1.5~~ Rule 1.4 “Board” shall mean the Board of Commissioners of the San Francisco County Transportation Authority.
- ~~Rule 1.6~~ Rule 1.5 “Chair” shall mean the Chair of the Board or in the absence of the Chair, the Vice-Chair acting as Chair.
- ~~Rule 1.6~~ Rule 1.6 “Clerk” shall mean the Clerk of the San Francisco County Transportation Authority.
- Rule 1.7 “Code” shall mean the California Public Utilities Code, ~~Section 131000 et seq., under which the Transportation Authority was created.~~
- ~~Rule 1.8 “Clerk” shall mean the Clerk of the Transportation Authority.~~
- ~~Rule 1.8~~ Rule 1.8 “Committee” shall mean a committee of the Board, including standing and select ~~as well as standing~~ committees.
- Rule 1.9 “Committee Room” shall mean Room 263 of City Hall.
- ~~Rule 1.10 “Communication” shall mean any matter, other than the measure, in whatsoever form addressed to the Board for consideration or action by the Board or its committees.~~
- ~~Rule 1.11~~ Rule 1.10 “Measure” shall mean and include a proposal, in whatsoever form presented, fulfillment of the purpose of which requires action of the San Francisco County Transportation Authority by amendment, ordinance, resolution or motion, other than a motion designed to accomplish an action strictly parliamentary in character.
- ~~Rule 1.12~~ Rule 1.11 “Member” shall mean a member of the Board ~~of Commissioners.~~
- ~~Rule 1.13~~ Rule 1.12 “Ordinances” shall mean procedures for establishing all rules of conduct affecting third parties under the jurisdiction of the San Francisco County Transportation Authority and of a permanent nature and shall include but not be limited to the Administrative Code and employment rules.
- ~~Rule 1.14~~ Rule 1.13 “Précis” shall mean a summary of a measure prepared by staff and presented as a part of the Board or committee ~~folder~~ materials.
- ~~Rule 1.15~~ Rule 1.14 “Presiding Officer” shall mean the Chair or acting chair.
- ~~Rule 1.16~~ Rule 1.15 “Previous Question” shall be a call to end debate on a matter.



~~Rule 1.17~~ Rule 1.16 “Resolution” shall mean the procedures for establishing all expressions of opinion of the Board which may or may not be of a permanent nature or affect third parties under the San Francisco County Transportation Authority’s jurisdiction.

Rule 1.17 “Rules” shall mean the Rules of Order of the San Francisco County Transportation Authority.

Rule 1.18 “Transportation Authority” shall mean the San Francisco County Transportation Authority.



## CHAPTER 2. ORGANIZATION AND MEETINGS

Rule 2.1 Adoption of Rules of Order. The Rules of Order (Rules) shall be adopted by motion carried by an affirmative recorded vote of a majority of the members of the Board. When adopted, such Rules shall remain in effect unless suspended or amended as provided herein. The Chair ~~or committee chair~~ may adopt temporary rules to address a specific situation or point of order in the Board meeting.

Rule 2.2 Suspension of Rules. Except this rule and ~~Rules-rules~~ which are restatements of other applicable laws and which are designated in these Rules by an asterisk, any rule may be suspended by the affirmative vote of eight (8) members unless there be less than eight (8) members present, in which case the unanimous consent of the members present, but not less than six (6) shall be required. A motion to suspend the rules is not debatable.

Rule 2.3 Amendment to Rules. All proposed amendments to the Rules shall be ~~referred to the Finance Committee for consideration and recommendation to~~ considered by the Board for adoption.

Rule 2.4 Parliamentary Authority. On any question or point of order not contained in these Rules, the Chair shall issue a ruling.

~~Rule 2.5 Organization and Election of Chair. Annually at the first meeting of the Board in January, the newly elected and continuing members of the Board of Commissioners shall elect the Chair and Vice Chair of the Board. The newly appointed Chair shall immediately preside following his or her election at the same meeting (Section 131260 of the Code).~~

~~Rule 2.6~~ Rule 2.5 Meetings and Rules of Procedures. \*All proceedings of the Board shall be in conformance with the provisions of the Bay Area Traffic and Transportation Funding Act (~~{~~Sections 131000 et seq. of Division 12.5 of the ~~California Public Utilities Code~~), the San Francisco County Transportation Reauthorization Authority Ordinance, ~~as amended by Resolution 486-03~~ (Article 14, commencing with Section 1401 of the San Francisco Business and Tax Regulations Code), ~~the Transportation Authority's Administrative Code~~, and the New Transportation Expenditure Plan ~~for San Francisco~~ adopted ~~together with Board of Supervisors Resolution 485-03~~ by the voters as Proposition K on November 4, 2003 ~~as Proposition K, and the Administrative Code.~~

Except as otherwise determined by the ~~Board~~ Chair, regular meetings of the Board shall be held at a time set by the Chair at 11:00 a.m. on the second and fourth Tuesday of each month in the Legislative Chamber of City Hall, ~~except. However,~~ when that day is a holiday, in which case the meeting shall be held on the following business day Tuesday. Committee meetings shall be held in the Committee Room Room 263 of City Hall or other location as designated with proper notice by the Transportation Authority.

\*The acts of the Board shall be expressed by motion, resolution or ordinance (Section 131263 of the Code).

\*All meetings of the Board shall be conducted in the manner prescribed by the Ralph M. Brown Act (Chapter 9 commencing with Section 54950 of Part 1 of Division 2 of Title 5 of the California Government Code) and the Transportation Authority's adopted Sunshine Policy.



~~Rule 2.7~~Rule 2.6 Temporary Meeting Place. In the event of the regular meeting place is unavailable, the Chair shall designate some other appropriate place as its temporary meeting place.

~~Rule 2.8~~Rule 2.7 Special Meetings of the Board. A special meeting of the Board of Commissioners may be called; ~~subject to the Ralph M. Brown Act,~~ by the Chair.

~~Rule 2.9~~Rule 2.8 Attendance at Meetings. All members of the Board shall be in their respective seats at the hour appointed for each regular, special or recessed meeting of the Board or one of its committees. The Clerk shall keep a record of the attendance of the members and shall report such record in the minutes.

~~Rule 2.10~~Rule 2.9 \*Quorum. A majority of the members of the Board shall constitute a quorum for the transaction of business, and all official acts of the ~~Transportation Authority Board shall~~ require the affirmative vote of a majority of the members of the Board (Section 131262 of the Code).

~~Rule 2.11~~Rule 2.10 Rights of the Members Less Than Quorum. In the absence of a quorum ~~no information may be presented and~~ no official action shall be taken by the members present except to order a call of the Board or committee, to reschedule the same meeting, to recess or to adjourn.

~~Rule 2.12~~Rule 2.11 Call of the Board or Committee. Whether there be a quorum or not, upon a call of the Board or one of its committees, those absent members shall be sent for by the Board or committee chair and be brought to the Legislative Chamber or to ~~Room 263~~the Committee Room for committee meetings ~~by special messengers appointed for the purpose.~~

When the Board or one of its committees is under call, no member shall leave the Chamber or ~~Room 263~~Committee Room without an announcement from the Chair or committee Chair that the member is excused.

During a call of the Board or one of its committees, when there is a quorum present, business may be transacted as usual, except that no action shall be taken with respect to the matter in connection with which the call was made.

~~Rule 2.13~~Rule 2.12 Permission to Leave Meeting. No member shall leave the Board or committee meeting while in session if the departure would cause the loss of a quorum.

~~Rule 2.14~~ \*~~Power and Duties of Chair and Vice-Chair of the Board. The Chair shall possess the following powers and duties:~~

- ~~1. To preside at all meetings;~~
- ~~2. To appoint the membership and the chair and vice chair of the committees of the Board, except for the Citizens Advisory Committee;~~
- ~~3. To decide the agenda of Board meetings;~~
- ~~4. To sign contracts, deeds, and other instruments on behalf of the Transportation Authority; and~~
- ~~5. To perform such additional duties as may be designated by the Board.~~

~~The Vice Chair shall perform the duties of the Chair in the absence or incapacity of the Chair (Section 3 of the Administrative Code).~~



~~Rule 2.15~~ Rule 2.13 Permission to Remove Disruptive Persons. The Board or committee Chair shall possess the power and duty to order removed from the meeting room any person who commits the following acts in respect to a regular or special meeting of the Board or a standing or select committee:

Disorderly, contemptuous or insolent behavior toward the Board or committee or any member thereof, tending to interrupt the due and orderly course of said meeting.

A breach of the peace, boisterous conduct or violent disturbance tending to interrupt the due and orderly course of said meeting;

Disobedience of any lawful order of the presiding officer, which shall include an order to be seated or to refrain from addressing the Board or committee, and

Any other unlawful interference with the due and orderly course of said meeting.

Any person so removed shall be excluded from further attendance at the meeting from which removed, unless permission to attend be granted upon a motion adopted by a majority vote of the Board or committee, and such exclusion shall be effected by attendant law enforcement officer or officers upon being so requested by the presiding officer.

Any law enforcement officer or officers on duty and in attendance at the meeting or whose services are requested by the presiding officer shall carry out all orders and instructions given by the presiding officer for the purpose of maintaining order and decorum at the Board or committee meeting.

In addition to effecting removal of any person who, in the opinion of the presiding officer, has violated the order and decorum of any meeting, such presiding officer may request any law enforcement officer or officers to place such person under arrest for violation of Section 403 or Section 415 of the California Penal Code, or any other applicable law, and shall cause such person to be prosecuted therefore, the complaint to be signed by such presiding officer.



### CHAPTER 3. BOARD RULES AND PROCEDURES

- Rule 3.1 Call to Order and Roll Call. The Chair shall preside at all Board meetings, and shall call each regular, adjourned, recessed or special meeting to order at the appointed hour. Immediately after the call to order, the Clerk shall call the roll of the members of the Board and shall record those members present and shall enter in the minutes the names of those members present as well as those members who arrive subsequent to the first roll call and those absent. In the absence of the Chair, the Vice-Chair shall preside and in the absence of both the Chair and the Vice-Chair, the members present after waiting fifteen (15) minutes from the scheduled onset of the meeting, by an order entered in the minutes, shall elect one of their members to act as Chair pro tempore, who, while so acting, shall have the authority of the Chair. The presiding officer shall proceed with the Order of Business.
- Rule 3.2 Order of Business. The normal Order of Business for the Board shall be as follows:
1. Roll Call
  - ~~2. Approval of Minutes~~
  - ~~3.2. Chair's Report~~
  - ~~4.3. Executive Director's Report~~
  4. Consent Agenda
  5. Approval of Minutes
  6. Old Business
  7. Introduction of New Items
  8. Public Comment
  9. Adjournment
- Rule 3.3 Addressing the Board. When a member desires to address the Board, the member shall ~~either rise in place or raise his or her microphone,~~ address the presiding officer, and when recognized shall proceed to speak, confining discussion to the question before the Board. Members shall not be recognized when away from their seats.
- Rule 3.4 Member Entitled to Floor. When two (2) or more members arise at the same time to address the Board, the presiding officer shall designate the member who is entitled to the floor.
- The committee chair, or in his or her absence or forbearance another member of the committee, shall be accorded priority in addressing the Board for the purpose of making a presentation concerning any matter submitted to the Board by the committee.
- Rule 3.5 Agenda. Prior to preparation of the agenda, the Executive Director shall review and finalize with the Chair all matters to be considered at the meeting. All matters to be acted on by the Board, except for approval of the Minutes and election of Chair and/or the Vice Chair, shall be placed on the agenda as action items at two (2) Board meetings in order to be considered for final action on the second appearance. If a matter is considered urgent, as determined by the Chair with no objections from Commissioners, it may be placed on the agenda for final approval on the first appearance, and shall be noted as such on the agenda.



Matters to be acted on by the Board shall not be placed on the Consent Agenda on the first appearance but may be placed on the Consent Agenda for final action on the second appearance. If an item is considered to be substantially changed after the first appearance, as determined by the Chair with no objections from Commissioners, it shall be considered as a new item subject to two (2) appearances.

Any member may request of the Chair in writing ten (10) business days prior to the scheduled Board or committee meeting that an item be included on the agenda. The Chair shall either ~~refer the issue to committee~~ cause the item to be placed on an agenda, or, if a matter is within the authority of a standing committee, refer the item to the committee, within a reasonable time or advise the member why it will not be scheduled.

Rule 3.6 Calling of Items. The Chair shall decide whether items may be acted upon individually (or grouped) when the question is called, unless a member requests that they be considered separately.

Rule 3.7 Reading Titles. The Clerk may read abbreviated titles of measures on the agenda when the abbreviated working will clearly express to the members and to the listening public the nature of the measure.

Rule 3.8 Introduction of Measures. Unless provided for by the Administrative Code, the Chair shall decide which items shall be referred to which committee or to the Board. The Executive Director shall prepare a précis of each item to be considered by the Board.

Rule 3.9 \*Measures Not on the Agenda. Before considering an item of business not on the agenda, the Board shall adopt a motion (i) by majority vote of the full membership of the Board that an emergency exists, as defined in California Government Code Section 54956.5; or (ii) by a two-thirds vote of the full membership, or if less than two-thirds of the members are present, a unanimous vote of those members present, determining that there is a need to take immediate action and that the need to take action arose after the agenda was posted (Section 54954.2 of the California Government Code).

Rule 3.10 Action by Motion. All resolutions, ordinances, parliamentary actions, ~~all~~ recommendations of a committee, actions on matters which concern only the internal functioning of the Board, directives to the staff of the Transportation Authority to perform some specific act in the line of ~~the~~ official duty, adoption of the annual report, inquires, actions of a ceremonial or commemorative nature, and such other actions as may be approved by the Transportation Authority's legal counsel, may be accomplished by motion.

Unless otherwise provided by these Rules, a motion of a parliamentary nature shall require for adoption the affirmative vote of at least a majority of the members of the Board, ~~or committee~~, there being present not less than a quorum.

\*All other motions shall require for adoption the affirmative vote of a majority of all the members of the Board, except as otherwise provided by these Rules, the Administrative Code, or other applicable law ~~(Section 131262 of the Code)~~.

Rule 3.11 Motions to be Stated and Seconded. The Clerk shall state all motions prior to debate. All motions are to be seconded unless provided for otherwise in these Rules. The Chair shall acknowledge members as they make motions and seconds.





- Rule 3.12 Motion Not Required. The Board shall consider, without the necessity for a motion and a second, all measures recommended to the Board by ~~the~~ a committee.
- Rule 3.13 Division of the Question. On the demand of any member, the Chair shall order a question divided if it includes propositions so distinct in substance that one being taken away, one of more substantive proposition shall remain for the decisions of the Board. When divided, each proposition shall then be considered and voted upon separately as if it has been offered alone.
- Rule 3.14 Seriatim Consideration. When a measure under debate includes points which are ultimately connected, any member may have the matter considered by section or paragraphs. Each section or paragraph may be amended while being considered, and the proposition as a whole shall then be voted upon.
- Rule 3.15 The Previous Question. The previous question shall only be admitted when called for by three (3) members, and if the motion carries, its effect shall be to terminate all debate on the matter pending, except that the author or mover of the measure, motion or amendment shall have the right to close and the question under discussion shall thereupon be immediately put to a vote.
- It shall require a two-thirds vote of the members present to adopt a motion calling for the previous question.
- The previous question shall be put in the following form: “Shall the previous question be now put?”
- Rule 3.16 Withdrawal of Motion. After the motion has been stated, it shall be in the possession of the Board. Before it is acted upon, a motion may be withdrawn by the mover only with the consent of a majority of the members present.
- Rule 3.17 Reconsideration. When a motion has been made and carried or lost, it shall be in order for any member voting with the prevailing side to move to reconsider the vote on that question.
- To be recorded as having voted with the prevailing side, in order to move to reconsider the vote on any question, a member may change a vote before the result of the roll call has been announced.
- Rule 3.18 Rescind. When a vote has been taken by the Board and carried or lost, it shall be in order at the same meeting for any member to move to rescind that vote unless something has been done as a result of the vote which is impossible to undo.
- Rule 3.19 \*Voting Requirements and Procedure. \*Every member present when a measure is put forth shall vote for or against it unless prohibited from voting by applicable law because of a conflict of interest which shall be disclosed (Sections 1090 et seq. and 87100 et seq. of the California Government Code, ~~Section 87100 et seq. of the Government Code~~, and all other relevant laws or regulations).
- No member shall be permitted to vote upon a question until the roll is called or before the vote is announced.
- \*A tie vote on any matter before the Board shall be deemed to be a disapproval (Section 131262 of the Code).

Rule 3.20 Minutes. Minutes will be kept of each regular and special meeting by the Clerk.



~~Rule 3.20~~ Rule 3.21 Vote to be Entered in the Minutes. After the Board has voted upon any matter, the name of the members who voted for and those who voted against the question shall be entered in the Minutes, and the votes by ayes and noes shall be recorded in the ~~minutes~~ Minutes.

~~Rule 3.21~~ Rule 3.22 Identification, Filing and Indexing. The Clerk shall assign to all measures appropriate identification. Thereafter, the Clerk shall maintain a legislative record and index of all measures.

~~Rule 3.22~~ Rule 3.23 Disposition of Communications. Written c~~ommunications~~ addressed to the Board regarding a matter to be considered or acted on shall be time-stamped and ~~shall be~~ deemed received by the Clerk ~~when presented to the Transportation Authority's office.~~ Communications that were received prior to the posting of the agenda shall be distributed to the Board prior to the meeting by the Clerk. Communications received after the posting of the agenda shall either be summarized by the Clerk at the Board meeting or distributed within seventy-two (72) hours.

~~Communications received prior to the printing of the agenda shall be noted on the agenda for the next following Board meeting.~~

~~Communications received after the printing of the agenda shall be summarized by the Clerk at the Board meeting.~~

~~Rule 3.23~~ Rule 3.24 \*Posting of the Agenda. The Clerk shall post ~~the agenda~~ and ~~send distribute a copy of~~ the agenda in an accessible manner for to all persons known or presumed to be interested in ~~the a~~ particular measure to be considered, and such notice shall be initiated so as to be reasonably designed to reach notificants not later than seventy-two (72) hours before any regularly scheduled Board meeting and twenty-four (24) hours before any special meeting is scheduled (Sections 59454.2 and, 54956 of the California Government Code).

In the case of a rescheduled or canceled meeting, notice of the rescheduled new meeting shall be posted outside Room 244 in City Hall.

~~Rule 3.24~~ ~~Minutes. Minutes will be kept of each regular and special meeting by the Clerk.~~

Rule 3.25 \*Meetings to Be Public. Every Board meeting shall be open to the public except that the Chair may order a meeting to be held in the closed session for consideration of matters permitted to be discussed in closed session ~~by State law~~ (Section 54957 et seq. of the California Government Code).

Rule 3.26 \*Public Comment. Any member of the public is entitled to comment on any matter on the agenda before it is acted on by the Board, unless a matter has previously been considered by a committee or the Board and was not substantially changed since it was heard, as determined by the Board. In addition, the last item at each Board meeting shall provide an opportunity for members of the public to directly address the Board on items of interest to the public which have not been discussed earlier in the meeting that are within the subject matter jurisdiction of the Transportation Authority. Members of the public may address the Board for up to ~~three two~~ (32) minutes or for such number of minutes as set by the Chair. The Chair may limit the total testimony to thirty (30) minutes ~~(Section 54954.3 of the Government Code)~~.



## CHAPTER 4. COMMITTEE RULES AND PROCEDURES

- Rule 4.1 Call to Order and Roll Call. The committee chair shall preside at all committee meetings, and shall call each regular, adjourned, recesses or special meeting to order at the appointed hour. Immediately after the call to order, the Clerk shall call the roll of the committee members and shall record those members present and shall enter in the minutes the names of those members present as well as those members who arrive subsequent to the first roll call and those absent. In the absence of the committee chair, the vice-chair shall preside. The presiding officer shall proceed with the Order of Business.
- Rule 4.2 Order of Business. The normal Order of Business for committees shall be as follows:
1. Roll call
  - ~~2. Approval of Minutes~~
  2. Consent Agenda
  3. Approval of Minutes
  4. Old Business
  5. Introduction of New Items
  6. Public Comment
  7. Adjournment
- Rule 4.3 Standing Committees, General Rules. The standing committees of the Board and the matters to be referred to each are set forth in the Administrative Code. Select committees may be established as provided in Section 5.2-1 of the Administrative Code.
- Any member of the Board who is not a member of an assigned committee may join with the members of the said committee in its deliberations provided such participation does not result in a quorum of the Board membership being present, however, only members of said committee shall be entitled to vote, except that the Chair may vote as provided in Section 5.1 (c) 2 of the Administrative Code ~~and Rule 4.5 below~~, on such matters in committee. Except with respect to the Chair, the participation of a non-member of the committee shall not be counted for purposes of determining whether a quorum of the committee is present.
- In the event that the scope of committee assignments may be conflicting, overlapping, ambiguous, or not stated, the Chair shall determine and designate which committee shall have jurisdiction over a particular matter.
- Rule 4.4 \*Committee Chair. Appointments to committees, including committee chair and vice-chair, will be determined~~The committee chair will be appointed~~ by the Chair at the beginning of each year (Section 3 (b) of the Administrative Code).
- ~~Rule 4.5 \*Chair as Non-Voting, Ex-Officio Member. In addition to the regular members of each committee, the Chair shall serve on each committee as a non-voting, ex-officio member, except that the Chair shall serve as a voting member when his or her presence is necessary in order to constitute a quorum. In the case of a tie vote in any committee, the Chair who is present but not acting as a voting member, may cast the deciding vote. A majority of the members of the committee shall constitute a quorum for the transaction of business and all official acts of the committee~~



~~shall require the affirmative vote of a majority of the members of the committee (Section 5.2 if the Administrative Code).~~

~~Rule 4.6~~Rule 4.5 Time of Meeting. Every committee shall meet at the time set by the Chair, committee chair at the beginning of his or her appointment, or a majority of the committee, in that order of priority. Whenever a meeting falls on a holiday or a quorum does not result, the meeting shall be rescheduled at the discretion of the committee chair.

~~Rule 4.7~~Rule 4.6 Meeting Frequency. The regular schedule of the standing committee meetings shall provide for meeting at least once a month for each of the committees, except for the Personnel Committee which shall meet only at the call of the Chair.

~~Rule 4.8~~Rule 4.7 Agenda. Prior to preparation of an agenda, the Executive Director shall review and finalize with the committee chair all matters to be considered at the meeting.

~~Rule 4.9~~Rule 4.8 Calling of Items. The committee chair shall decide whether items may be acted upon individually (or grouped) when the question is called, unless a member requests that they be separate.

~~Rule 4.10~~Rule 4.9 Reading the Titles. The Clerk may read abbreviated titles of measure on the agenda when the abbreviated wording will clearly express to the members and to the listening public the nature of the measure.

~~Rule 4.11~~Rule 4.10 Introduction of Measures. The Executive Director shall prepare a précis of each item to be considered by the committee.

~~Rule 4.12~~Rule 4.11 \*Measures Not on the Agenda. Before considering an item of business not on the agenda, the committee shall adopt a motion (i) by majority vote of the full membership of the committee that an emergency exists, as defined in California Government Code Section 54956.5; or (ii) by the two-thirds vote of its members, or if less than two-thirds of the members are present, by a unanimous vote of those members present, determining that there is a need to take immediate action and that the need to take action arose after the agenda was posted (Section 54954.2 of the California Government Code).

~~Rule 4.13~~Rule 4.12 Action by Motion. All resolutions, ordinances, parliamentary actions, ~~all~~ recommendations of a committee, actions on matters which concern only the internal functioning of ~~the Board~~ committee, directive to the staff of the Transportation Authority to perform some specific act in the line of official duty, ~~adoption of the annual report~~, inquiries, actions of ceremonial or commemorative nature, and such other actions as may be approved by Transportation Authority's legal counsel, may be accomplished by motion.

Unless otherwise provided by these Rules, a motion of a parliamentary nature shall require for adoption the affirmative vote of at least a majority of the members of the committee, there being present not less than a quorum.

\*All other motions shall require for adoption the affirmative vote of a majority of all the members of the committee, except as otherwise provided by these Rules, the Administrative Code, or other applicable law.

~~Rule 4.14~~Rule 4.13 Motion to be Stated. The Clerk shall state all motions prior to debate. No motion in the committee shall require a second. The committee chair shall acknowledge members as they make motions.



~~Rule 4.15~~Rule 4.14 Division of the Question. On the demand of any member, the committee chair shall order a question divided if it includes propositions so distinct in substance that one being taken away, one or more substantive propositions shall remain for the decision of the committee. When divided, each proposition shall then be considered and voted upon separately as if it has been offered alone.

~~Rule 4.16~~Rule 4.15 Seriatim Consideration. When a measure under debate includes points which are ultimately connected, any member may have the matter considered by sections or paragraphs. Each section or paragraph may be amended while being considered, and the proposition as a whole shall then be voted upon.

~~Rule 4.17~~Rule 4.16 Withdrawal of Motion. After the motion has been stated it shall be in the possession of the committee. Before it is acted upon, a motion may be withdrawn by the mover only with the consent of a majority of the members present.

~~Rule 4.18~~Rule 4.17 Reconsideration. When a motion has been made and carried or lost, it shall be in order for any member voting with the prevailing side to move to reconsider the vote on that question.

To be recorded as having voted with the prevailing side, in order to move to reconsider the vote on any question, ~~any~~ member may change a vote before the result of the roll call has been announced.

~~Rule 4.19~~Rule 4.18 Rescind. When a vote has been taken by a committee and carried or lost, it shall be in order at the same meeting for any member to move to rescind that vote unless something has been done as a result of the vote which is impossible to undo.

~~Rule 4.20~~Rule 4.19 \*Voting Requirements and Procedure. Every member present when a motion is put forth shall vote for or against it unless prohibited from voting by applicable law because of a conflict of interest which shall be disclosed (~~Government Code Sections 1090 et seq. and 87100 et seq. of the California;~~ Government Code ~~Section 87100 et seq.~~ and all other relevant laws and regulations).

No member shall be permitted to vote upon a question until the roll is called or before the vote is announced.

A tie vote on any matter before the committee shall be deemed to be a disapproval except that the Chair may break a tie vote as provided in Rule 4.5 Administrative Code Section 5.1 (c).

Rule 4.20 Minutes. Minutes will be kept of each regular and special meeting by the Clerk.

Rule 4.21 Vote to be Entered in the Minutes. After the committee has voted upon any matter, the names of the members who voted for and those who voted against the question shall be entered in the Minutes, and the votes by ayes and noes shall be recorded in the Minutes.

Rule 4.22 Identification, Filing and Indexing. The Clerk shall assign to all measures appropriate identification. Thereafter, the Clerk shall maintain a legislative record and index of all measure.

~~Rule 4.23 Minutes. Minutes will be kept of each Regular and Special meeting by the Clerk.~~

~~Rule 4.24~~Rule 4.23 \*Posting of Agenda. The Clerk shall post ~~the agenda~~ and ~~send a copy of~~distribute the agenda in an accessible manner to all persons known or presumed to be interested in ~~the a~~ particular measure to be considered, and such notice shall be initiated so as to be reasonably designed



to reach notificants not later than seventy-two (72) hours before a regularly scheduled committee meeting or twenty-four (24) hours before a special meeting is scheduled (Sections 54954.2 ~~and~~ 54956 of the California Government Code).

~~Rule 4.25~~ Rule 4.24 \*Public Comment. Any member of the public is entitled to comment on any matter on the agenda which is within the subject matter jurisdiction of the Transportation Authority before it is acted on by the committee, unless a matter has previously been considered by the committee and was not substantially changed since it was heard, as determined by the committee. In addition, the last item at each committee meeting prior to adjournment shall provide an opportunity for members of the public to directly address the committee on items of interest to the public which have not been discussed earlier in the meeting that are within the subject matter jurisdiction of the Transportation Authority. Members of the public may address the committee for up to ~~three~~ two (23) minutes or for such number of minutes as set by the chair. The committee chair may limit the total testimony to thirty (30) minutes ~~(Section 54954.3 of Government Code)~~.

## CHAPTER 5. MISCELLANEOUS

- Rule 5.1 Conduct of Members. No member in debate shall, directly or indirectly, by any form of words impute to another member or to other members any conduct or motive unworthy or unbecoming to a member.
- Rule 5.2 Honors issued by the Board of Commissioners. The Board may issues honors in the following categories for transportation-related activities:
1. Engrossed Resolutions. Such resolutions shall be prepared for members leaving office; Transportation Authority staff leaving the service after at least ten (10) years of service with the Transportation Authority; and Mayors, members of Congress, and members of the State Legislature upon leaving office.
  2. Certificates of Honor and Letters of Commendation. Each member of the Board is authorized to be issued up to five (5) Certificates of Honor or Letters of Commendation a year on behalf of the Board without further Board action in accordance with the following procedure.
    - a) No certificates or letters shall be issued to a person or entity which has received a certificate or letter within the previous twelve (12) months.
    - b) Each member desiring to issue a Certificate of Honor or Letter of Commendation shall provide the name of the proposed recipient to the Clerk who will advise other members of the request.
    - c) During the two (2) business days following the provision of the name, other members may indicate their desire to join in on sponsoring the certificate or letter. The primary sponsor shall then permit the additional members to sign the certificate or letter.
  - ~~3. Letters of Recommendation. Each member of the Board is authorized to issue Letters of Recommendation in the name of the Board without limit as to number.~~
  - ~~4.3.~~ The Executive Director shall, after consultation with the Chair, prescribe the form for each of these honors, and shall facilitate the preparation of such certificates and letters by the staffs of individual members.
  - ~~5.4.~~ The Board shall be advised at its regularly scheduled meeting on any engrossed resolutions, certificates of honor or letters of ~~r~~ecommendation awarded since the last Board meeting.