

Napa Valley Transportation Authority

625 Burnell Street
Napa, CA 94559



Agenda - Final

Thursday, June 6, 2019
2:00 PM

NVTA Conference Room

Technical Advisory Committee

All materials relating to an agenda item for an open session of a regular meeting of the Technical Advisory Committee (TAC) are posted on the NVTA website at <https://nctpa.legistar.com/Calendar.aspx> at least 72 hours prior to the meeting and will be available for public inspection, on and after at the time of such distribution, in the office of the Secretary of the TAC, 625 Burnell Street, Napa, California 94559, Monday through Friday, between the hours of 8:00 a.m. and 4:30 p.m., except for NVTA holidays. Materials distributed to the present members of the TAC at the meeting will be available for public inspection at the public meeting if prepared by the members of the TAC or staff and after the public meeting if prepared by some other person. Availability of materials related to agenda items for public inspection does not include materials which are exempt from public disclosure under Government Code sections 6253.5, 6254, 6254.3, 6254.7, 6254.15, 6254.16, or 6254.22.

Members of the public may speak to the TAC on any item at the time the TAC is considering the item. Please complete a Speaker's Slip, which is located on the table near the entryway, and then present the slip to the TAC Secretary. Also, members of the public are invited to address the TAC on any issue not on today's agenda under Public Comment. Speakers are limited to three minutes.

This Agenda shall be made available upon request in alternate formats to persons with a disability. Persons requesting a disability-related modification or accommodation should contact the TAC Secretary at (707) 259-8631 during regular business hours, at least 48 hours prior to the time of the meeting.

This Agenda may also be viewed online by visiting the NVTA website at <https://nctpa.legistar.com/Calendar.aspx>

Acceso y el Título VI: La NVTa puede proveer asistencia/facilitar la comunicación a las personas discapacitadas y los individuos con conocimiento limitado del inglés quienes quieran dirigirse a la Autoridad. Para solicitar asistencia, por favor llame al número (707) 259-8633. Requerimos que solicite asistencia con tres días hábiles de anticipación para poderle proveer asistencia.

Ang Accessibility at Title VI: Ang NVTa ay nagkakaloob ng mga serbisyo/akomodasyon kung hilingin ang mga ito, ng mga taong may kapansanan at mga indibiduwal na may limitadong kaalaman sa wikang Ingles, na nais na matugunan ang mga bagay-bagay na may kinalaman sa NVTa Board. Para sa mga tulong sa akomodasyon o pagsasalin-wika, mangyari lang tumawag sa (707) 259-8633. Kakailanganin namin ng paunang abiso na tatlong araw na may pasok sa trabaho para matugunan ang inyong kahilingan.

1. Call To Order
2. Introductions
3. Public Comment
4. Committee Member and Staff Comments

5. STANDING AGENDA ITEMS

- 5.1 Congestion Management Agency (CMA) Report (Danielle Schmitz)
- 5.2 Project Monitoring Funding Programs* (Alberto Esqueda)
- 5.3 Caltrans' Report* (Ahmad Rahimi)
- 5.4 Vine Trail Update (Erica Ahmann Smithies)
- 5.5 Transit Update (Matthew Wilcox)
- 5.6 Measure T Update (Alberto Esqueda)

Note: Where times are indicated for the agenda items they are approximate and intended as estimates only, and may be shorter or longer, as needed.

6. PRESENTATIONS

- 6.1 **Metropolitan Transportation Commission (MTC) Regional Growth Framework Presentation (Christy Leffall)**
Body: Christy Leffall from MTC will provide an overview on the Regional Growth Framework.
Recommendation: Information only
Estimated Time: 2:15 p.m.
- 6.2 **Sonoma Marin Area Rail Transit (SMART) Marin to Suisun Feasibility Study Presentation (Danielle Schmitz)**
Body: Danielle Schmitz will provide an overview on the SMART Marin to Suisun Feasibility Study findings.
Recommendation: Information only
Estimated Time: 2:35 p.m.

7. CONSENT AGENDA

7.1 Meeting Minutes of May 2, 2019 TAC Meeting (Kathy Alexander) (Pages 8-11)

Body: TAC action will approve the May 2, 2019 meeting minutes.

Recommendation: Approval

Estimated Time: 2:45 p.m.

Attachments: [Draft Minutes.pdf](#)

8. REGULAR AGENDA ITEMS

8.1 Plan Bay Area 2050: Request for Regionally-Significant Projects (Alberto Esqueda) (Pages 12-30)

Body: The TAC will review and recommend the Board approve Napa County's regionally significant draft project list to include in the Metropolitan Transportation Commission's Regional Transportation Plan (RTP) update.

Recommendation: Action

Estimated Time: 2:45 p.m.

Attachments: [Staff Report.pdf](#)

8.2 Vision Zero Update (Diana Meehan) (Pages 31-35)

Body: Staff will provide an update on the Vision Zero Program.

Recommendation: Information only.

Estimated Time: 2:50 p.m.

Attachments: [Staff Report.pdf](#)

8.3 California Transportation Commission (CTC) Allocation Plan (Danielle Schmitz) (Pages 36-58)

Body: Staff will provide an overview of the CTC Allocation Plan.

Recommendation: Information only.

Estimated Time: 3:00 p.m.

Attachments: [Staff Report.pdf](#)

8.4 Legislative Update* (Kate Miller)

Body: Staff will review the state and federal legislative updates.

Recommendation: Information only.

Estimated Time: 3:05 p.m.

**8.5 June 19, 2019 NVTA Board Meeting and NVTA-TA Board Meeting
Draft Agendas* (Kate Miller)**

Body: Staff will review the June 19, 2019 NVTA Board and NVTA-TA Board meeting draft agendas.

Recommendation: Information only.

Estimated Time: 3:10 p.m.

9. FUTURE AGENDA ITEMS

10. ADJOURNMENT

10.1 Approval of Next Regular Meeting Date of July 11, 2019 and Adjournment.

I, Kathy Alexander, hereby certify that the agenda for the above stated meeting was posted at a location freely accessible to members of the public at the NVTA offices, 625 Burnell Street, Napa, CA by 5:00 p.m., on Thursday, May 30, 2019.

Kathy Alexander (e-sign)

Kathy Alexander, Deputy Board Secretary

*Information will be available at the meeting

Glossary of Acronyms

AB 32	Global Warming Solutions Act	HBRR	Highway Bridge Replacement and Rehabilitation Program
ABAG	Association of Bay Area Governments	HIP	Housing Incentive Program
ADA	American with Disabilities Act	HOT	High Occupancy Toll
ATAC	Active Transportation Advisory Committee	HOV	High Occupancy Vehicle
ATP	Active Transportation Program	HR3	High Risk Rural Roads
BAAQMD	Bay Area Air Quality Management District	HSIP	Highway Safety Improvement Program
BART	Bay Area Rapid Transit District	HTF	Highway Trust Fund
BATA	Bay Area Toll Authority	HUTA	Highway Users Tax Account
BRT	Bus Rapid Transit	IFB	Invitation for Bid
CAC	Citizen Advisory Committee	ITIP	State Interregional Transportation Improvement Program
CAP	Climate Action Plan	ITOC	Independent Taxpayer Oversight Committee
Caltrans	California Department of Transportation	IS/MND	Initial Study/Mitigated Negative Declaration
CEQA	California Environmental Quality Act	JARC	Job Access and Reverse Commute
CIP	Capital Investment Program	LIFT	Low-Income Flexible Transportation
CMA	Congestion Management Agency	LOS	Level of Service
CMAQ	Congestion Mitigation and Air Quality Improvement Program	LS&R	Local Streets & Roads
CMP	Congestion Management Program	MaaS	Mobility as a Service
CalSTA	California Transportation Agency	MAP 21	Moving Ahead for Progress in the 21 st Century Act
CTP	Countywide Transportation Plan	MPO	Metropolitan Planning Organization
COC	Communities of Concern	MTC	Metropolitan Transportation Commission
CTC	California Transportation Commission	MTS	Metropolitan Transportation System
DAA	Design Alternative Analyst	ND	Negative Declaration
DBB	Design-Bid-Build	NEPA	National Environmental Policy Act
DBF	Design-Build-Finance	NOAH	Natural Occurring Affordable Housing
DBFOM	Design-Build-Finance-Operate-Maintain	NOC	Notice of Completion
DED	Draft Environmental Document	NOD	Notice of Determination
EIR	Environmental Impact Report	NOP	Notice of Preparation
EJ	Environmental Justice	NVTA	Napa Valley Transportation Authority
FAS	Federal Aid Secondary	NVTA-TA	Napa Valley Transportation Authority-Tax Agency
FAST	Fixing America's Surface Transportation Act	OBAG	One Bay Area Grant
FHWA	Federal Highway Administration	PA&ED	Project Approval Environmental Document
FTA	Federal Transit Administration	P3 or PPP	Public-Private Partnership
FY	Fiscal Year	PCC	Paratransit Coordination Council
GHG	Greenhouse Gas	PCI	Pavement Condition Index
GGRF	Greenhouse Gas Reduction Fund	PCA	Priority Conservation Area
GTFS	General Transit Feed Specification		
HBP	Highway Bridge Program		

Glossary of Acronyms

PDA	Priority Development Areas	STIP	State Transportation Improvement Program
PID	Project Initiation Document	STP	Surface Transportation Program
PMS	Pavement Management System	TAC	Technical Advisory Committee
Prop. 42	Statewide Initiative that requires a portion of gasoline sales tax revenues be designated to transportation purposes	TCM	Transportation Control Measure
PSE	Plans, Specifications and Estimates	TCRP	Traffic Congestion Relief Program
PSR	Project Study Report	TDA	Transportation Development Act
PTA	Public Transportation Account	TDM	Transportation Demand Management Transportation Demand Model
RACC	Regional Agency Coordinating Committee	TE	Transportation Enhancement
RFP	Request for Proposal	TEA	Transportation Enhancement Activities
RFQ	Request for Qualifications	TEA 21	Transportation Equity Act for the 21 st Century
RHNA	Regional Housing Needs Allocation	TFCA	Transportation Fund for Clean Air
RM2	Regional Measure 2 (Bridge Toll)	TIGER	Transportation Investments Generation Economic Recovery
RM3	Regional Measure 3	TIP	Transportation Improvement Program
RMRP	Road Maintenance and Rehabilitation Program	TLC	Transportation for Livable Communities
ROW	Right of Way	TLU	Transportation and Land Use
RTEP	Regional Transit Expansion Program	TMP	Traffic Management Plan
RTIP	Regional Transportation Improvement Program	TMS	Transportation Management System
RTP	Regional Transportation Plan	TNC	Transportation Network Companies
SAFE	Service Authority for Freeways and Expressways	TOAH	Transit Oriented Affordable Housing
SAFETEA-LU	Safe, Accountable, Flexible, and Efficient Transportation Equity Act-A Legacy for Users	TOD	Transit-Oriented Development
SB 375	Sustainable Communities and Climate Protection Act 2008	TOS	Transportation Operations Systems
SB 1	The Road Repair and Accountability Act of 2017	TPA	Transit Priority Area
SCS	Sustainable Community Strategy	TPI	Transit Performance Initiative
SHA	State Highway Account	TPP	Transit Priority Project Areas
SHOPP	State Highway Operation and Protection Program	VHD	Vehicle Hours of Delay
SNCI	Solano Napa Commuter Information	VMT	Vehicle Miles Traveled
SNTDM	Solano Napa Travel Demand Model		
SR	State Route		
SRTS	Safe Routes to School		
SOV	Single-Occupant Vehicle		
STA	State Transit Assistance		
STIC	Small Transit Intensive Cities		

Napa Valley Transportation Authority

625 Burnell Street
Napa, CA 94559

Meeting Minutes - Draft Technical Advisory Committee

Thursday, May 2, 2019

2:00 PM

NVTA Conference Room

1. Call To Order

Chair Ahmann Smithies called the meeting to order at 2:02 p.m.

Present: 10 - Brent Cooper
Eric Whan
Lorien Clark
Juan Arias
Doug Weir
Debra Hight
Chairperson Erica Ahmann Smithies
Aaron Hecock
Steve Lederer
Steve Hartwig

Absent: 2 - Mike Kirn
Joe Tagliaboschi

2. Introductions

Chair Ahmann Smithies invited all in attendance to introduce themselves.

Also present: Patrick Band, Napa County Bicycle Coalition (NCBC).

3. Public Comment

Public comment received from Patrick Band, NCBC, on Bike to Work Day 2019.

4. Committee Member and Staff Comments

There were no committee member or staff comments provided.

5. STANDING AGENDA ITEMS

5.1 Congestion Management Agency (CMA) Report (Danielle Schmitz)

Report by Danielle Schmitz

Caltrans has an unfunded mandate from the California State Water Resources Control Board for trash cleanup (control and implementation) on the sides of highways and right of ways. District 4 has to clean up 4,000 acres of highways and right of way by 2022, and 8,800 acres by 2026. Cost estimate is \$600 million. Caltrans is considering using the State Highway Operation and Protection Program (SHOPP) to fund the cleanup, the county transportation agencies (CTAs) are working with Caltrans to avoid using SHOPP funds. Caltrans may bring a draft revised SHOPP list to the next CTA meeting. Caltrans plans to implement control measures such as California Highway Patrol enforcement of homeless encampments, street sweeping, trash cleanup, storm drain cleanup and capital solutions such as trash capture systems in construction projects.

The Metropolitan Transportation Commission (MTC) has released its third Horizon white paper, "Regional Growth Framework and Strategies". MTC is working on a priority development area (PDA) analysis. The Association of Bay Area Governments (ABAG) and MTC will issue another call for projects (CFP) for priority conservation areas (PCAs) and PDAs.

MTC is also evaluating different land use types such as priority production areas (PPAs) and transit priority areas (TPAs).

Ms. Schmitz noted the agenda packet for the Regional Area Working Group (RAWG) has a lot of valuable information on growth framework and will send the agenda packet link to the Committee members.

Kate Miller added that MTC is still determining if/how transportation funds will be tied to housing.

5.2 Project Monitoring Funding Programs* (Alberto Esqueda)

Alberto Esqueda noted that there is no report this month, however, an in-depth report will be provided at the next TAC meeting.

5.3 Caltrans' Report* (Ahmad Rahimi)

No report - Ahmad Rahimi was not able to attend the meeting.

5.4 Vine Trail Update (Erica Ahmann Smithies)

Report by Rebecca Schenck.

On May 16th the California Transportation Commission will consider NVTAs 20-month extension request for the Active Transportation Program grant that was awarded for the Vine Trail Calistoga to St. Helena segment. NVTAs staff will attend the meeting.

NVTA released a request for proposal (RFP) on April 29th for final design, NEPA and CEQA as well as support during construction. The County of Napa, City of Calistoga and City of St. Helena are invited to have a staff member participate in the RFP review committee, potentially on June 4th.

5.5 Transit Update (Matthew Wilcox)

Report by Kate Miller.

Phase 1 of the service changes to Regional Routes 10, 11, 21, 29, as well as the addition of 10X and 11X commuter routes, started on April 28th. Ms. Miller provided an overview of the service changes.

Staff is working on the service changes for Phase 2 (local routes in the City of Napa), which will be implemented this summer.

[Brent Cooper joined the meeting at 2:13 p.m.]

5.6 Measure T Update (Alberto Esqueda)

Report by Alberto Esqueda.

The next Independent Taxpayer Oversight Committee is June 5, 2019 at 2 p.m. The City of Napa staff will provide an overview of their projects.

Mr. Esqueda requested the jurisdictions send him pictures of their projects for uploading to the Measure T project website. Approximately forty (40) projects need to be added to the website. Additionally, he reminded the jurisdictions to request project numbers prior to starting a project.

6. CONSENT AGENDA

6.1 Meeting Minutes of April 4, 2019 TAC Meeting (Kathy Alexander) (Pages 7-10)

MOTION by HECOCK, SECOND by ARIAS to APPROVE the MEETING MINUTES of the APRIL 4, 2019 TAC meeting. Motion was approved. Chair Ahmann Smithies and Member Hartwig abstained as they were not present at the meeting.

7. REGULAR AGENDA ITEMS

7.1 State Route 29 Comprehensive Multimodal Corridor Plan and Project Initiation Document for State Route 29 through American Canyon Update (Rebecca Schenck) (Pages 11-121)

Report by Rebecca Schenck.

NVTA Board awarded the contract for the SR29 Comprehensive Multimodal Corridor Plan (CMCP) and the Project Initiation Document (PID) for the Napa Junction- American Canyon Road project to GHD. The project scope encompasses SR29 at Imola to SR29 at SR37.

The Staff Working Group will meet at 12:30 p.m. prior to the TAC meeting, starting June 6th and will meet through November. Additionally, the group will meet August 1st at 12:30 p.m.. Jurisdiction representatives are: American Canyon - Member Hartwig; City of Napa - Member Whan (primary) and Member Clark; County of Napa - to be determined.

7.2 Plan Bay Area 2050: Request for Regionally-Significant Projects (Alberto Esqueda) (Pages 122-138)

Report by Alberto Esqueda.

Mr. Esqueda reviewed the revised project list provided in the handout packet. The revised list is approximately \$9 million over Napa County's target amount. All projects will be reduced proportionately after all jurisdictions have confirmed the amount of their project cost assumptions. A revised project list will be provided at the June TAC meeting.

7.3 Vine Maintenance Facility Value Engineering Overview (Rebecca Schenck) (Pages 139-143)

Report by Rebecca Schenck.

Ms. Schenck provided an overview of the value engineering analysis and the measures staff selected to reduce the cost of the project.

Ms. Schenck will investigate the feasibility of committee members' suggestions to consider modular buildings and replacing a portion of the lift bays with in-ground and pit bus bays.

Kate Miller assured the TAC that if NVTa uses \$4.1 million in State Transportation Improvement Program (STIP) funds that are currently committed to Soscol Junction and the City of Napa's Silverado Trail Five-Way intersection and is unable to backfill with other fund programs, NVTa will add the Soscol Junction Project to the Vine Maintenance Facility Transportation Infrastructure Finance and Innovation Act (TIFIA) loan package and increase the loan by \$4.1 million to ensure project funding. Ms. Miller emphasized that funding for the Soscol Junction and the Silverado Trail Five-Way intersection projects are not at risk.

Member Arias cautioned that implementing more changes to the design at this point, which is at 100%, may result in additional design costs that may significantly reduce any project savings.

7.4 Legislative Update* (Kate Miller)

Report by Kate Miller.

Reviewed the report and changes to the State Bill Matrix.

Asked the TAC for input on AB1633, which would require cities to develop a traffic signal optimization plan.

Patrick Band reported SB152 (Active Transportation Program) was amended to distribute the funds as follows: 60% to Metropolitan Planning Organizations (MPOs) to award projects in urban areas with populations greater than 200,000, 15% to fund projects in small urban and rural areas, and 25% competitively awarded by the California Transportation Commission.

Patrick Band encouraged support on SB127 - the Complete Streets Bill.

7.5 May 15, 2019 NVTa Board Meeting Draft Agenda* (Kate Miller)

Kate Miller reviewed the May 15, 2019 NVTa Board Meeting Draft Agenda.

8. FUTURE AGENDA ITEMS

**Separate meeting/training for SB743
Sonoma Marin Area Rail Transit (SMART) - Marin to Suisun Feasibility Study presentation
Vision Zero**

9. ADJOURNMENT

9.1 Approval of Next Regular Meeting Date of June 6, 2019 and Adjournment.

Chair Ahmann Smithies adjourned the meeting at 3:14 p.m.



NAPA VALLEY TRANSPORTATION AUTHORITY
TAC Agenda Letter

TO: Technical Advisory Committee (TAC)
FROM: Kate Miller, Executive Director
REPORT BY: Alberto Esqueda, Senior Program Planner/ Administrator
(707) 259-5976 | aesqueda@nvta.ca.gov
SUBJECT: Plan Bay Area 2050: Request for Regionally-Significant Projects

RECOMMENDATION

That the TAC review and recommend the Board approve Napa County's regionally significant draft project list to include in the Metropolitan Transportation Commission's Regional Transportation Plan (RTP) update.

EXECUTIVE SUMMARY

The Metropolitan Transportation Commission (MTC) issued an open "Call for Regionally Significant Projects" for Plan Bay Area 2050, the Regional Transportation Plan/Sustainable Communities Strategy (RTP/SCS). This is the 25-year Regional Strategic Transportation Plan that is revised every four (4) years. This RTP will continue to promote policies created by SB 375 that mandate a companion "Sustainable Communities Strategy", which must demonstrate how the RTP will achieve reductions in Greenhouse Gas emissions due to cars and light trucks.

MTC is currently requesting projects from the second investment category; non-exempt, capacity-increasing projects (i.e., regionally-significant projects). Investments from the first category, group listings of exempt projects, will be conducted later this calendar year.

Generally, regionally-significant projects are those that add capacity to the region's network of freeways, expressways, and highways or to the region's network of fixed guideway transit facilities (e.g., rail, ferry, BRT). While there are no single projects in Napa County over \$250 million, NVRTA will submit projects that are regionally significant using the following criteria:

- Expands or extends the principal arterial system (length must be greater than ¼ mile)
- Expands or extends a roadway to become part of the principal arterial system (length must be greater than ¼ mile)
- Reduces the number of lanes (e.g., road diet) of the principal arterial system (length must be greater than ¼ mile)
- Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)
- Extends or expands the fixed guideway transit infrastructure
- Adds new or expands transit stations or terminals, including parking facilities
- Expands transit fleets or service levels (e.g., increased frequency, hours of operation)
- Alters the cost for users of the transportation system (e.g., cordon pricing, tolling, transit fares).

Final project submittals must be approved by the NVTB Board at the June meeting and submitted to **MTC no later than June 30, 2019.**

FISCAL IMPACT

Is there a fiscal impact? No

BACKGROUND AND DISCUSSION

As the Bay Area's Metropolitan Planning Organization, MTC is required by federal and state regulations to prepare a fiscally-constrained, Regional Transportation Plan ("Plan Bay Area 2050" or "RTP"). The RTP is prepared in accordance with the California Transportation Commission's RTP guidelines. Among many things, the RTP identifies needs, sets priorities, and includes a fiscally constrained list of short-, medium-, and long-range projects and programs. As the County Transportation Agency (CTA) for Napa County, NVTB is required to coordinate the submittal of regionally-significant transportation projects to MTC.

Plan Bay Area 2050 will be a fiscally constrained plan. This means the proposed transportation project costs cannot exceed the reasonably expected transportation revenues forecasted over the planning horizon. Plan Bay Area's forecast of reasonably expected transportation revenues will not be finalized until Fall 2019; however, county targets have been developed for the purpose of this Request for Regionally-Significant Projects. The Napa County target for regionally significant projects is \$615 million. Jurisdiction projects and programs will be collected via a Call for Projects (CFP) through NVTB.

TAC was asked to evaluate RTP guidelines in context of Plan Bay Area 2050 and consider projects previously submitted under NVTB's Countywide Transportation Plan Vision 2040: Moving Napa Forward and refine projects as necessary.

Initial project submittals were received by NVTa on Friday, April 26th. NVTa staff completed the first review of initial project submittals and presented to the TAC in a handout at the May 2nd meeting. TAC members will have the opportunity to provide feedback on the draft project list until it is approved by the NVTa Board.

A final project submittal list will be approved by the NVTa Board at the June 19th Board meeting to meet MTC's deadline.

Programmatic categories or group projects will be requested in fall of 2019, at which time NVTa will conduct a separate call for projects.

SUPPORTING DOCUMENTS

Attachment(s): (1) NVTa's Draft List of Regionally-Significant Projects for Plan Bay Area 2050 Request for Regionally-Significant Projects Guidance
 (2) Request for Regionally-Significant Projects Guidance

Plan Bay Area 2050 Regionally Significant Project Submittal List

No.	Jurisdiction	Project Title	Project Description	Project Location			Mode	Project Phase	Total Cost (Year of Expenditure)	Total Committed	Types of funds Committed	Total Need	PBA 20250 Funds allocated to project	Start Year	End Year	Included in Plan Bay Area or Countywide Transportation Plan	Regional Significance Criteria (Does the project meet any of the drop down criteria)	General Criteria (Does the project meet any of the drop down criteria)
				Location	Start Point	End Point												
1	City of Napa	Trower Avenue Extension	Extend Trower Avenue east to connect with Big Ranch Road	Trower Avenue	Eastern terminus of Trower Ave	Big Ranch Road	Bike/Ped/Vehicle	Planning	\$ 12,537,549	\$0	-	\$12,537,549	\$ 12,537,549	2025	2050	YES	Expands or extends a roadway to become part of the principal arterial system (length must be greater than ¼ mile)	Will open after 2021 and by year 2050
2	City of Napa	Lincoln Avenue at California Blvd & SR29 Off-Ramp	Reconfigure northbound SR 29 off-ramp at Lincoln Avenue and modify Lincoln/California intersection	Lincoln Avenue	SR29 Off-Ramp	California Boulevard	Bike/Ped/Vehicle	Planning	\$ 6,567,288	\$0	-	\$6,567,288	\$ 6,567,288	2025	2050	YES	Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will open after 2021 and by year 2050
3	City of Napa	SR29 over Trower	Trower Avenue Underpass	Trower Avenue/ SR29 Intersection	-	-	Bike/Ped/Vehicle	Planning	\$ 35,821,569	\$0	-	\$35,821,569	\$ 24,321,569	2025	2050	YES	Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will open after 2021 and by year 2050
4	City of Napa	Jefferson/Imola Intersection Widening	Jefferson/Imola intersection modification	Jefferson/ Imola Intersection	-	-	Bike/Ped/Vehicle	Planning	\$ 3,582,157	\$0	-	\$3,582,157	\$ 3,582,157	2025	2050	YES	Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will open after 2021 and by year 2050
5	City of Napa	Solano/Redwood Intersection Widening	Widening and restriping modifications to the Solano Avenue/ Redwood Road Intersection	Solano/ Redwood Intersection	-	-	Bike/Ped/Vehicle	Planning	\$ 895,539	\$0	-	\$895,539	\$ 895,539	2025	2050	YES	Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will open after 2021 and by year 2050
6	City of Napa	Soscol Avenue Widening	Widen Soscol Avenue-SR221-SR121 to six lanes from Magnolia Drive to Silverado Trail including median widening and intersection improvements	Soscol Avenue	Magnolia Drive	Silverado Trail	Vehicle	Planning	\$ 27,164,690	\$0	-	\$27,164,690	\$ 22,164,690	2025	2050	YES	Expands or extends the principal arterial system (length must be greater than ¼ mile)	Will open after 2021 and by year 2050
7	City of Napa	Lincoln/Soscol Right turn Lanes	Modify Lincoln/Soscol intersection with right turn lanes	Lincoln/ Soscol intersection	-	-	Bike/Ped/Vehicle	Planning	\$ 895,539	\$0	-	\$895,539	\$ 895,539	2025	2050	YES	Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will open after 2021 and by year 2050
8	City of Napa	First Street Roundabouts (west side)	Construct roundabouts on First Street at Freeway Drive and SR29 Southbound ramps	First Street	Freeway Drive	SR29 southbound ramps	Bike/Ped/Vehicle	Planning	\$ 10,149,445	\$0	-	\$10,149,445	\$ 10,149,445	2025	2050	YES	Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will open after 2021 and by year 2050
9	City of Napa	5-way Intersection Modification	Construct intersection improvements at Silverado Trail/Third Street/Coombsville Road/East Avenue	Silverado/ Coombsville/ 3rd/ East Ave Intersection	-	-	Bike/Ped/Vehicle	Design	\$ 15,522,680	\$3,500,000	Caltrans	\$12,022,680	\$ 12,022,680	2014	2025	YES	Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will open after 2021 and by year 2050
10	NVTA	Park and Ride Lots, (Construction and O&M)	Park and Ride lots throughout Napa County	Napa County	-	-	Bus	PE-CON	\$ 11,255,088	\$0	-	\$11,255,088	\$ 11,255,088	2022	2050	No	Adds new or expands transit stations or terminals, i	Supports the region's sustainable communities strategy (SCS)
11	NVTA	Vine Maintenance Facility (Construction O&M)	Construction of new maintenance facility	Sheehy Ct.	-	-	Bus	CON	\$ 37,141,791	\$2,000,000	-	\$35,141,791	\$ 35,141,791	2023	2050	No	Adds new or expands transit stations or terminals, i	Supports the region's sustainable communities strategy (SCS)
12	NVTA	Bus Chargers	Electric Bus Infrastructure	Napa County	-	-	Bus	CON	\$ 5,627,544	\$0	-	\$5,627,544	\$ 5,627,544	2023	2050	No	Adds new or expands transit stations or terminals, i	Supports the region's sustainable communities strategy (SCS)
13	NVTA	Express Bus Enhancements	13.5 miles of bus rapid corridor enhancements	SR 29	Vallejo Ferry Terminal	Napa Valley College	Bus	PE-CON	\$ 21,535,091	\$0	-	\$21,535,091	\$ 21,535,091	2027	2050	No	Expands transit fleets or service levels (e.g., increa	Supports the region's sustainable communities strategy (SCS)
14	NVTA	Motor Coaches	Acquisition of Long Haul Motor Coaches	N/A	-	-	Bus	None	\$ 17,734,781	\$0	-	\$17,734,781	\$ 17,734,781	2027	2050	-	Expands transit fleets or service levels (e.g., increa	Supports the region's sustainable communities strategy (SCS)
15	NVTA	Express Bus Enhancements	4.7 miles of bus Bus Corridor Enhancements	SR 29	Napa Valley College	Redwood P&R	Bus	PE-CON	\$ 6,333,850	\$0	-	\$6,333,850	\$ 6,333,850	2027	2050	No	Expands transit fleets or service levels (e.g., increa	Supports the region's sustainable communities strategy (SCS)
16	NVTA	Bus Fleet Expansion	Expansion of Express Routes buses; 15 over the road-coach long-haul buses	N/A	-	-	Bus	None	\$ 20,763,508	\$0	-	\$20,763,508	\$ 15,763,508	2030	2050	No	Expands transit fleets or service levels (e.g., increa	Supports the region's sustainable communities strategy (SCS)
17	NVTA	Local routes expanded service hours	Expand service hours from 6am-11pm weekdays	N/A	-	-	Bus	None	\$ 55,369,355	\$0	-	\$55,369,355	\$ 35,369,355	2030	2050	No	Expands transit fleets or service levels (e.g., increa	Will open after 2021 and by year 2050
18	NVTA	Local routes expanded service hours	Add Sunday Service	N/A	-	-	Bus	None	\$ 6,017,649	\$0	-	\$6,017,649	\$ 6,017,649	2035	2050	No	Expands transit fleets or service levels (e.g., increa	Will open after 2021 and by year 2050
19	NVTA	Local routes increase frequency	All local service operates every 30 minutes on weekdays	N/A	-	-	Bus	None	\$ 11,940,523	\$0	-	\$11,940,523	\$ 11,940,523	2025	2050	No	Expands transit fleets or service levels (e.g., increa	Will open after 2021 and by year 2050
20	NVTA	Express/Regional routes expanded service hours	Expand service hours from 4am-12am	N/A	-	-	Bus	None	\$ 32,555,155	\$0	-	\$32,555,155	\$ 22,555,155	2045	2050	No	Expands transit fleets or service levels (e.g., increa	Will open after 2021 and by year 2050
21	NVTA	Express/Regional routes expanded service hours	Increase frequency on Routes 29, 21, 10X, 11X, 10 and 11 to 30 peak, 60 midday on weekdays	N/A	-	-	Bus	None	\$ 80,285,565	\$0	-	\$80,285,565	\$ 50,180,304	2030	2050	No	Expands transit fleets or service levels (e.g., increa	Will open after 2021 and by year 2050
22	NVTA	Express/Regional routes Enhanced frequency	Add Saturday service to Routes 10X, 11X, 21, and 29	N/A	-	-	Bus	None	\$ 10,831,768	\$0	-	\$10,831,768	\$ 10,831,768	2040	2050	No	Expands transit fleets or service levels (e.g., increa	Will open after 2021 and by year 2050
23	NVTA	Express/Regional routes Enhanced frequency	Add Sunday service to Routes 10X, 11X, 21, and 29	N/A	-	-	Bus	None	\$ 6,278,494	\$0	-	\$6,278,494	\$ 6,278,494	2045	2050	No	Expands transit fleets or service levels (e.g., increa	Will open after 2021 and by year 2050
24	NVTA	New Transit Vehicles (EXPANSION)	Acquisition of new paratransit vehicles, community shuttle buses and Vine buses for service expansion	N/A	-	-	Bus	None	\$ 15,522,680	\$0	-	\$15,522,680	\$ 10,522,680	2025	2050	No	Expands transit fleets or service levels (e.g., increa	Supports the region's sustainable communities strategy (SCS)

Plan Bay Area 2050 Regionally Significant Project Submittal List

No.	Jurisdiction	Project Title	Project Description	Project Location			Mode	Project Phase	Total Cost (Year of Expenditure)	Total Committed	Types of funds Committed	Total Need	PBA 20250 Funds allocated to project	Start Year	End Year	Included in Plan Bay Area or Countywide Transportation Plan	Regional Significance Criteria (Does the project meet any of the drop down criteria)	General Criteria (Does the project meet any of the drop down criteria)
				Location	Start Point	End Point												
25	NVTA	Transit System Growth (Operating Costs)	Operation costs for the expansion of the transit system	N/A	-	-	Bus	None	\$ 3,343,346	\$0	-	\$3,343,346	\$ 3,343,346	2025	2050	No	Expands transit fleets or service levels (e.g., increased frequency, hours of operation)	Supports the region's sustainable communities strategy (SCS)
26	NVTA	New Shelters and Stop Amenities (EXPANSION)	Improved bus stops throughout Napa County	N/A	-	-	Bus	None	\$ 8,487,200	\$0	-	\$8,487,200	\$ 8,487,200	2021	2025	No	Adds new or expands transit stations or terminals, including parking facilities	Supports the region's sustainable communities strategy (SCS)
27	NVTA	TSP	Transit Signal Priority on SR-29 and major corridors	N/A	-	-	Bus	CON	\$ 2,185,454	\$0	-	\$2,185,454	\$ 2,185,454	2022	2025	No	Expands transit fleets or service levels (e.g., increased frequency, hours of operation)	Supports the region's sustainable communities strategy (SCS)
28	NVTA	SMART Connector	Implement Bus Service to SMART Train	N/A	-	-	Bus	N/A	\$ 5,627,544	\$0	-	\$5,627,544	\$ 5,627,544	2023	2050		Expands transit fleets or service levels (e.g., increased frequency, hours of operation)	Supports the region's sustainable communities strategy (SCS)
29	NVTA	NVC Transfer Center	Construct a bus tranfer center at Napa Valley College	NVC	-	-	Bus	PE-CON	\$ 1,159,274	\$0	-	\$1,159,274	\$ 1,159,274	2024	2025		Adds new or expands transit stations or terminals, including parking facilities	Supports the region's sustainable communities strategy (SCS)
30	NVTA	Soscol Junction	Construct free flowing SR-29 structure with two roundabouts	SR29/SR12/SR221	-	-	Auto	PE-CON	\$ 40,000,000		-	\$40,000,000	\$ 40,000,000	2022	2024		Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will open after 2021 and by year 2050
31	NVTA	Airport Blvd Junction	Construct grade separated interchange	SR29/SR12/Airport Blvd	-		Auto	PE-CON	\$ 69,211,694	\$0	-	\$69,211,694	\$ 39,211,694	2030	2032		Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will seek federal, state or regional funding
32	NVTA	Carneros Interseccion	SR 29/SR12/SR 121 (Carneros intersection) Improvements	SR29/SR12/SR121	-	-	Auto	PE-CON	\$ 4,700,000	\$0	-	\$4,700,000	\$ 4,700,000	2022	2023		Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will open after 2021 and by year 2050
33	NVTA	SR-29 Corridor Phase 1	Operational and multimodal improvements on SR 29 from Napa Junction to American Canyon Blvd. Including signal technology upgrades and intersection reconfiguration.	SR-29	-	-	Auto/Bike/Bus	PE-CON	\$ 21,492,941	\$0	-	\$21,492,941	\$ 21,492,941	2025	2027		Expands transit fleets or service levels (e.g., increased frequency, hours of operation)	Supports the region's sustainable communities strategy (SCS)
34	NVTA	SR-29 Corridor Phase 2	6-Lane Rural Highway from SR 37 to Airport Boulevard including widening the bridge over the railroad and grade seperated pedestrian crossings.	SR-29	-	-	Auto	PE-CON	\$ 69,211,694	\$0	-	\$69,211,694	\$ 57,309,536	2030	2035		Expands or extends a roadway to become part of the principal arterial system (length must be greater than ¼ mile)	Will seek federal, state or regional funding
35	American Canyon	Newelll Drive Extension	Newell Drive extension from Donaldson Way to South Napa Junction, Newell Drive Overcrossing structure, new 2-lane arterial from south Napa Junction Rd to South Kelly Roa	Newell Drive			Auto/Bike/Bus	PE-CON	\$ 41,791,830	\$0	-	\$41,791,830	\$ 21,791,830	2025	2028		Expands or extends a roadway to become part of the principal arterial system (length must be greater than ¼ mile)	Will seek federal, state or regional funding
36	American Canyon	Paoli Loop Widening	Widen Paoli Loop Rd from Green Island to Newell Extension	Paoli Loop Road			Auto/Bike/Bus	PE-CON	\$ 10,134,161	\$0	-	\$10,134,161	\$ 10,134,161	2027	2029		Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will open after 2021 and by year 2050
37	American Canyon	Eucalyptus Drive Extension	Eucalyptus Drive Extension	Eucalyptus Drive			Auto/Bike/Bus	PE-CON	\$ 4,637,096	\$0	-	\$4,637,096	\$ 4,637,096	2025	2026		Expands or extends a roadway to become part of the principal arterial system (length must be greater than ¼ mile)	Will seek federal, state or regional funding
38	American Canyon	West Connector	New arterial on the west side of SR 29 connecting Eucalyptus Drive to Green Island Road industrial area	Eucalyptus Drive to Green Island Road Industrian area	Eucalyptus Drive	Green Island Rd	Auto/Bike/Bus	PE-CON	\$ 9,552,418	\$0		\$9,552,418	\$ 9,552,418	2025	2027		Expands or extends the principal arterial system (length must be greater than ¼ mile)	Will seek federal, state or regional funding
39	City of American Canyon	Eucalyptus Widening	Theresa to Wetlands Edge	Eucalyptus Drive			Auto/Bike/Bus	PE-CON	\$ 7,828,639	\$0	-	\$7,828,639	\$ 7,828,639	2028	2029		Expands or extends a roadway to become part of the principal arterial system (length must be greater than ¼ mile)	Will seek federal, state or regional funding
40	City of Calistoga	SR-29 Bypass	Calistoga SR-29 Bypass Dunaweal Ln/Tubbs Ln	Dunaweal	SR-29	Silverado Trail	Auto/Bike/Bus	PE-CON	\$ 10,751,331	\$0	-	\$10,751,331	\$ 5,751,331	2030	2032		Expands or extends a roadway to become part of the principal arterial system (length must be greater than ¼ mile)	Will seek federal, state or regional funding
41	NVTA	Madison Street Interchange	Improvements to SR-29/Madison Street Interseccion	SR-29	-	-	Auto/Bike/Bus	PE-CON	\$ 8,063,498	\$0	-	\$8,063,498	\$ 8,063,498	2030	2032		Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)	Will seek federal, state or regional funding
42	St Helena	Oak Avenue Extension	Extend Oak Avenue approximately 2,000 feet from Mitchell Drive to Grayson	Oak Avenue	Oak Avenue at Mitchell	Grayson Avenue	Auto	PE-CON	\$ 3,500,000	\$0	-	\$3,500,000	\$ 3,500,000	2025	2030	No	Expands or extends the principal arterial system (length must be greater than ¼ mile)	
Regional Projects of Interest to Napa County																		
Freeways & Interchanges: SR-37 Widening + Resilience Project																		
Commuter Rail Project: SMART to Solano																		
									TOTAL	\$ 774,007,419			\$765,007,419	\$ 615,000,000				
									TARGET	\$ 615,000,000			\$615,000,000	\$ 615,000,000				
									OVER	\$ (159,007,419)			-\$150,007,419	\$ 0				

GUIDANCE



Request for Regionally-Significant Projects

The Metropolitan Transportation Commission (MTC) requests the assistance of each of the nine Bay Area county transportation agencies (CTAs) and multi-county project sponsors (e.g., Caltrans, BART, Caltrain) to submit locally-identified, regionally-significant project proposals for consideration into Plan Bay Area 2050, the Bay Area's Regional Transportation Plan and Sustainable Communities Strategy (RTP/SCS).

Overview

CTAs and multi-county project sponsors were fundamental to the development of previous iterations of Plan Bay Area by reflecting local visions and priorities for consideration into the RTP/SCS, and they will be fundamental to the development of Plan Bay Area 2050. MTC expects CTAs and multi-county project sponsors to coordinate and lead the [Request for Regionally-Significant Projects](#) for their respective county or system. This includes the review and update of project assumptions and the identification of new project proposals.

Context

As the Bay Area's MPO, MTC is required by federal and state regulations to prepare a fiscally-constrained, long-range transportation plan ("Plan" or "Plan Bay Area 2050"). The Plan is prepared in accordance with the California Transportation Commission's RTP guidelines. Among many things, the Plan identifies needs, sets priorities, and includes a fiscally constrained list of short-, medium-, and long-range projects and programs.

MTC characterizes Plan projects into two investment categories, 1) group listings of exempt projects (i.e., programmatic categories) and 2) non-exempt, capacity-increasing projects (i.e., regionally-significant projects). Generally, regionally-significant projects are those that add capacity to the region's network of free-ways, expressways, and highways or to the region's network of fixed guideway transit facilities (e.g., rail, ferry, BRT).

In order to meet federal and state air-quality planning requirements, MTC gathers locally-identified, regionally-significant project proposals for consideration into the adopted Plan. Regionally-significant projects represent a small share of the Bay Area's regional investment strategy; however, their submittal is vital for the development of the Plan and its technical analyses.

The submitted projects are subject to several technical analyses. MTC will assess the costliest projects to estimate their societal benefits to inform project prioritization and the development of Plan Bay Area 2050's investment strategy. Prior to the Plan's adoption, MTC will collectively assess the prioritized projects to estimate their potential environmental impacts.

Plan Bay Area 2050 Development Process

This [Request for Regionally-Significant Projects](#) is the third step of a multi-step effort to identify regionally-significant project proposals for consideration into Plan Bay Area 2050, see [Figure 1](#).

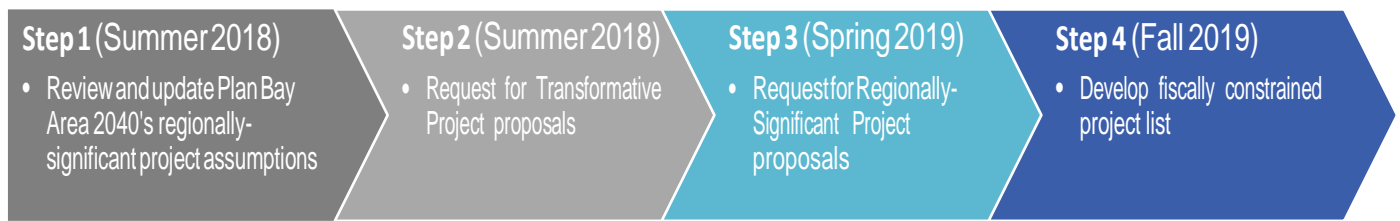


Figure 1. Plan Bay Area 2050 Development Process

Steps 1 and 2 occurred in Summer 2018. During Step 1, CTAs and multi-county project sponsors were asked to update project assumptions (e.g., scope, cost, schedule) of the costliest regionally-significant projects included in Plan Bay Area 2040 (2017). In Step 2, the region was challenged to submit project proposals that could ‘transform’ the region through an open Request for Transformative Projects. The open request focused on regionally-significant projects that were estimated to cost more than \$1 billion and were not submitted for consideration in Plan Bay Area 2040.

This **Request for Regionally-Significant Projects** is Step 3 in the process.

Step 4 is anticipated to begin in Fall of 2019 to inform the development of Plan Bay Area 2050's fiscally constrained investment strategy. Steps 1-3 will inform Step 4, as will the results from Plan Bay Area 2050's project performance assessment, needs assessments, and forecast of reasonably expected transportation revenues. This final step will ask each CTA and multi-county project sponsor to identify a fiscally constrained list of both regionally-significant projects and programmatic category investments.

Simultaneously, MTC will prepare **Needs Assessments** for Plan Bay Area 2050 to estimate the revenues and needs to operate and maintain the region's existing network of streets, bridges, and highways, and the region's transit systems.

The needs estimates will be complete in Fall 2019. For assessments related to transportation, staff will coordinate with county transportation agencies (CTAs), transit agencies, and local jurisdictions as needed.

Relation to Countywide Transportation Plans

The region's countywide transportation plans represent robust local transportation planning efforts in the Bay Area. The plans, while voluntary, establish a county's long-range transportation vision, goals and priorities. Countywide transportation plans have an inter-dependent relationship with the RTP/SCS and provide a primary basis for projects considered into the adopted Plan. To facilitate this inter-dependent relationship, MTC prepares guidelines for counties who choose to prepare a countywide transportation plan, see **Figure 2**, below. Among many things, MTC's guidelines encourage proactive coordination and outreach while developing the countywide transportation plans.

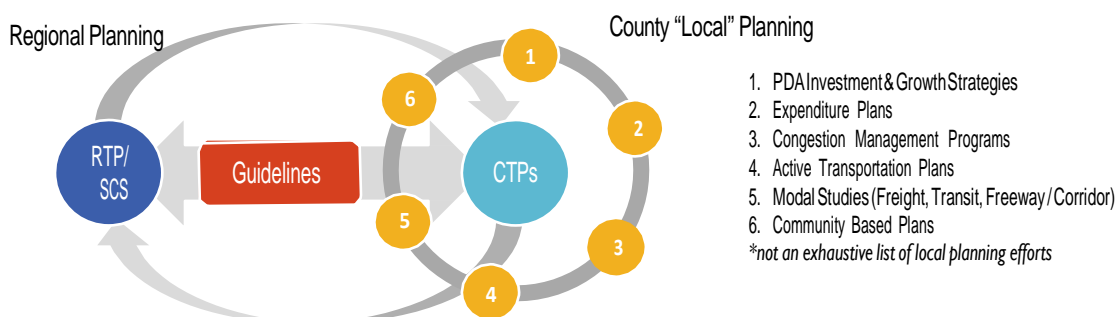


Figure 2. Regional and County Planning Inter-dependency

Guidance

Definitions

- **Exempt project** means a transportation project exempt from regional transportation-air quality conformity requirements (CFR 40 §93.126-128) and/or projects with categorical exclusions or documented categorical exclusions from NEPA approvals by the FHWA or FTA (CFR 23 §771.117-8).
- **Principal Arterial System** includes Interstates, Other Freeway or Expressways, and Other Principal Arterials. See Caltrans' [web map](#)¹ for a map of the regional network.
- **Fixed Guideway** includes any public transportation facility which utilizes and occupies a designated right-of-way or rails including rapid rail, light rail, commuter rail, bus rapid transit, busways, automated guideway transit, people movers, and ferries.

Regionally-significant project means a transportation project (other than an exempt project) that is adding capacity to a facility which serves regional transportation needs including at a minimum the principal arterial system and all fixed guideway transit facilities.

In the context of Plan Bay Area 2050, a project proposal will be deemed regionally-significant if it meets any of the following:

- Expands or extends the principal arterial system (length must be greater than ¼ mile)
 - Expands or extends a roadway to become part of the principal arterial system (length must be greater than ¼ mile)
 - Reduces the number of lanes (e.g., road diet) of the principal arterial system (length must be greater than ¼ mile)
 - Adds new or expands access to the principal arterial system (e.g., new interchanges or interchange modifications that add capacity)
 - Extends or expands the fixed guideway transit infrastructure
 - Adds new or expands transit stations or terminals, including parking facilities
 - Expands transit fleets or service levels (e.g., increased frequency, hours of operation)
 - Alters the cost for users of the transportation system (e.g., cordon pricing, tolling, transit fares).
 - Total estimated cost (capital + operating and maintenance) is greater than \$250 million
- **Programmatic investment** means a collection of like transportation projects (other than regionally-significant projects) identified by a single listing in the Plan, often grouped by purpose and geography (e.g. pavement preservation, bicycle/pedestrian facilities, intersection improvements). Projects that increase capacity of the transportation system but fail to meet the regionally-significant criteria listed above will be considered programmatic investments (e.g., minor highway improvements, widening of local streets). See [Attachment B](#) for an inventory of programmatic category project types.

¹ <https://caltrans.maps.arcgis.com/apps/webappviewer/index.html?id=026e830c914c495797c969a3e5668538>

1. Project Lists

This [Request for Regionally-Significant Projects](#) builds upon the Bay Area's adopted Plan and Transportation Improvement Program, and Horizon's Request for Transformative Projects (Steps 1 and 2, of the [Plan Bay Area 2050 Development Process](#)). As such, MTC staff will provide each CTA and multi-county project sponsor a list of known regionally-significant projects in their respective county or on their respective system.

- CTAs and multi-county project sponsors should review and update the assumptions of known regionally-significant projects and identify new regionally-significant project proposals.
- CTAs and multi-county project sponsors are encouraged to submit regionally-significant projects derived from an adopted plan, corridor study, or project study report (e.g., RTP/SCS, countywide transportation plan, community-based transportation plans, regional bicycle plan, climate action plans) and which meet one or more of the general criteria listed below:
 - Will open for operation after 2021 and by year 2050;
 - Will seek federal, state, or regional funding;
 - Will require federal or state action (e.g., project-level conformity, NEPA, CEQA);
 - Supports Horizon's Guiding Principles (see [Attachment C](#)); or,
 - Supports the region's sustainable communities strategy (SCS).
- CTAs and multi-county project sponsors should develop and submit project cost estimates using a reasonable basis. Cost estimates should include both capital and operating and maintenance (O&M) costs through 2050. Cost estimates should be submitted in year-of-expenditure (YOE) dollars. If project cost estimates are in current dollars, a 3% annual inflation rate should be used to escalate project costs to YOE.

2. County Targets

As required by federal and state planning regulations, Plan Bay Area 2050 will be a fiscally constrained plan. This means the proposed transportation project costs cannot exceed the reasonably expected transportation revenues forecasted over the planning horizon. Plan Bay Area's forecast of reasonably expected transportation revenues will not be finalized until Fall 2019; however, county targets have been developed for the purpose of this [Request for Regionally-Significant Projects](#). This means that CTAs and multi-county sponsors will need to work with MTC following the release of the revenue forecast to fiscally constrain and remove projects from their list of regionally-significant project proposals.

- CTAs should submit regionally-significant projects with a collective total cost (capital + O&M) equal to or less than the county target of transportation revenues in Table 1.
 - CTAs should take the lead on submitting all localized regionally-significant projects (e.g., freeway interchanges, corridor improvements, transit stations, bus rapid transit corridors) regardless of whether the project has a multi-county sponsor (e.g., Caltrans, BART, Caltrain).
 - CTAs should account for the costs of the costliest regionally-significant projects included in PBA 2040 that are subject to Horizon/PBA 2050's project performance assessment. The list of projects is included in [Attachment D, Part A](#).

- CTAs do not need to account for the costs of regionally-significant projects identified during Horizon's Request for Transformative Projects within their county target. The list of projects is included in **Attachment D, Part B**.
- Multi-county project sponsors (e.g., Caltrans, ACE (SJRR), AC Transit, BART, Caltrain (PCJPB), Capitol Corridor (CCJPA), GGBHTD, SMART, WETA), should take the lead on coordinating the submittal of localized projects (e.g., freeway interchanges, corridor improvements, transit stations, bus rapid transit corridors) with the respective CTA and should coordinate the submittal of multi-county or systems projects with MTC.

Table 1. County Targets (in millions of Year-of-Expenditure \$)

Column A	Column B	Column C	Column D	Column E	Column F
County	PBA 2040 Regionally-Significant Project Costs	PBA 2040 Regionally-Significant Cost Share	D.O.F. 2018 Population Share	PBA 2050 Regionally-Significant Cost Share	PBA 2050 Regionally-Significant Project Cost Targets
Alameda	\$5,928	16%	21%	18%	\$10,524
Contra Costa	\$2,179	6%	15%	10%	\$5,844
Marin	\$277	1%	3%	2%	\$1,174
Napa	\$128	< 1%	2%	1%	\$615
San Francisco	\$10,382	27%	11%	19%	\$11,015
San Mateo	\$2,323	6%	10%	8%	\$4,578
Santa Clara	\$14,712	39%	25%	32%	\$18,191
Solano	\$1,076	3%	6%	4%	\$2,419
Sonoma	\$1,053	3%	7%	5%	\$2,641
Total	\$38,058	100%	100%	100%	\$57,000

notes:

1. The PBA 2050 county target for regionally-significant projects (non-exempt/capacity-increasing) of \$57 billion represents a 50% increase over the PBA 2040 county project costs of \$38 billion. The 50% increase represents an estimated "top of range" and allows for a longer-plan period (30 vs 24 years), a higher inflation rate (3% vs. 2.2%), and additional fund sources that were not included in PBA 2040. It is not expected that PBA 2050 will have 50% more revenue than PBA 2040.
2. To develop the county targets, staff calculated a hybrid from the cost shares of county-sponsored regionally-significant projects in PBA 2040 (Column C), and county population shares (column D) relative to the rest of the region. The hybrid shares weighted the cost share and population share equally. The resulting target shares are shown in Column E.

3. Coordination, Outreach, & Public Comment

Federal and state planning regulations require that the Plan be developed through an inclusive process. Project development and the progression from an idea to implementation or construction includes numerous robust coordination, outreach, and public comment opportunities. One such opportunity is the development of countywide transportation plans. MTC's countywide transportation plan guidelines encourage proactive coordination and public engagement efforts to provide opportunities for stakeholders and the public to weigh in on local projects and priorities.

- CTAs and multi-county project sponsors should work closely with local jurisdictions and transit agencies within their respective county, as well as with MTC, Caltrans, other stakeholders, and other

CTAs where appropriate, to review and update regionally-significant project assumptions and identify new project proposals. CTAs and multi-county project sponsors should communicate the significance of a project's inclusion into the Plan.

- CTAs and multi-county project sponsors should hold at least one public meeting to provide an opportunity for public comment on the list of regionally-significant projects that will be submitted for consideration into Plan Bay Area 2050. CTAs and multi-county project sponsors should be proactive in notifying stakeholders and the public – including traditionally underrepresented and/or disadvantaged communities – on the opportunity(s) for comment. The meeting(s) should:
 - Inform stakeholders and the public about the opportunity(s) for public comment on projects and when decisions are to be made;
 - Be held at times that are conducive to public participation to solicit public comment on the projects;
 - Be promoted to the public and noticed on the CTA's agency's website. CTA staff are encouraged to provide MTC with a link so the information can also be available on the website PlanBayArea.org;
 - Include information on how to request language translation for individuals with limited English proficiency. If CTA agency protocol has not been established, please refer to MTC's Plan for Assisting Limited English Proficient Populations;
 - Provide accommodations for people with disabilities; and,
 - Be held in central locations that are accessible for people with disabilities and by public transit.
- CTAs and multi-county project sponsors may leverage current or past coordination and public engagement efforts that involved the identification and/or prioritization of regionally-significant projects. However, CTAs and multi-county project sponsors should still hold at least one public meeting to provide an opportunity for public comment on the list of regionally-significant projects that will be submitted to MTC for consideration into Plan Bay Area 2050.
- CTAs and multi-county project sponsors should conduct an outreach effort(s) in a manner consistent with Title VI of the Civil Rights Act of 1964 as described in [MTC's Public Participation Plan](#)² (MTC Resolution No. 4174, revised).
- CTAs and multi-county project sponsors should document their outreach effort(s). Documentation should describe how stakeholders and the public – including traditionally underrepresented and/or disadvantaged communities – were involved in the process for identifying regionally-significant projects for consideration into Plan Bay Area 2050. Documentation should include how the public meeting(s) was held in a manner consistent with Title VI of the Civil Rights Act of 1964.

4. Submittal Process

- CTAs and multi-county project sponsors should submit to MTC:

² https://www.planbayarea.org/sites/default/files/pdfs_referenced/2018_ppp_appendix_a_final_june2018.pdf

- Completed list of regionally-significant project and their assumptions for consideration into Plan Bay Area 2050 prior to MTC's June 30, 2019, deadline.
- Board resolution authorizing the submittal of the list of regionally-significant projects for consideration into Plan Bay Area 2050 by July 31, 2019.
- Documentation that a public meeting was held allowing the public to comment on the list of regionally-significant projects and how the public meeting was conducted in compliance with Title VI of the Civil Rights Act of 1964 by July 31, 2019.
- Documentation of how stakeholders and the public – including traditionally underrepresented and/or disadvantaged communities – were involved in the process by July 31, 2019.

Attachments

- **Attachment A-** Follow a Transportation Project From Idea to Implementation
- **Attachment B-** Draft Programmatic Categories
- **Attachment C-** Horizon's Guiding Principles
- **Attachment D-** Draft Project Performance Projects

Attachment A – Follow a Transportation Project From Idea to Implementation³

New Project Ideas and Local Review		MTC's Long-Term Regional Transportation Plan	MTC's Project Selection Process	Construction/Implementation
<p>Idea An idea for a project starts when a transportation need is identified, and a new idea is put forward. The idea can surface in any number of ways — from you, a private business, a community group or a government agency.</p>	<p>Local Review The project idea must be adopted by a formal sponsor — usually a public agency — that may refine the initial idea and develop details for the project. To move forward, the project must be approved by local authorities such as a city council, county board of supervisors or transit agency.</p> <p>To be eligible for certain regional, state and federal funds, projects must be cleared through the county congestion management agency (CMA) and become part of the Regional Transportation Plan.</p>	<p>The Regional Transportation Plan (RTP)/ Sustainable Communities Strategy (SCS) Every four years MTC updates the Regional Transportation Plan (RTP), looking forward two to three decades. The plan identifies policies, programs and transportation investments to support the long-term vision for the Bay Area.</p> <p>The RTP also must identify anticipated funding sources. The RTP can include only those projects and programs that can be funded with revenues reasonably expected to be available during the plan's timeframe. Projects identified in the RTP are generally drawn from the planning efforts of MTC, Association of Bay Area Governments (ABAG), county congestion management agencies, transit agencies and local governments.</p> <p>State legislation now requires that regional transportation plans incorporate a Sustainable Communities Strategy (SCS) — provisions for reducing greenhouse gas emissions from cars and light trucks by integrating transportation, housing and land use planning.</p>	<p>Once long-term goals, policies and funding initiatives have been set in the RTP, MTC develops program criteria and funds specific projects.</p> <p>Project Selection Process <i>Funding Levels Established for RTP Programs/Initiatives:</i> Guided by the RTP and short-term revenue estimates, MTC decides how much funding to apply to programs over a two-to-four-year period at a time.</p> <p><i>Project Selection Criteria Developed:</i> For competitive programs under its control, MTC is guided by the RTP and develops and adopts minimum project requirements and criteria to evaluate and prioritize projects.</p> <p><i>Project Selection:</i> Depending on the program, projects may be selected using MTC's criteria or by the county congestion management agency, the California Transportation Commission or a transit agency board. Some funding programs are non-competitive, meaning projects are funded according to a pre-determined formula or voter-enacted initiative.</p>	<p>Environmental Review and Project Development Activities The project sponsor conducts an environmental review, as required by either the California Environmental Quality Act (CEQA) or the National Environmental Policy Act (NEPA). Final approval of the project design and right-of-way is required by the sponsoring agency and appropriate federal agency (Federal Highway Administration or Federal Transit Administration) if federal funds and/or actions are involved.</p> <p>Funding is fully committed by grant approval once the project meets all requirements and moves forward to phases such as preliminary engineering, final design, right-of-way acquisition, or construction.</p>
How You Can Make a Difference				
<p>Get involved in your community!</p> <ul style="list-style-type: none"> Follow the work of your city council, county board of supervisors or local transit agency. Take notice of plans or improvement programs developed by your city, county or transit agency. Comment on projects proposed by your county CMA or on transportation improvements submitted to MTC for regional, state or federal funding. 		<p>The Regional Transportation Plan is the earliest and best opportunity within the MTC process to comment on and influence projects. A project cannot move forward or receive any federal funds unless it is included in the RTP. MTC support of large projects occurs in the long-range plan and not as part of the TIP.</p> <ul style="list-style-type: none"> Attend public meetings or open houses to learn about plans and offer your comments Participate in online surveys or forums 	<p>Get involved in planning for the whole Bay Area at MTC!</p> <ul style="list-style-type: none"> Comment at MTC committee level and Commission-level meetings, special public hearings and workshops. Follow the work of MTC's Policy Advisory Council which advises the Commission (www.mtc.ca.gov/whats-happening). Check MTC's website for committee agendas and to keep current on activities (www.mtc.ca.gov). Get your name added to MTC's database to receive e-mail updates (info@bayareametro.gov). 	<p>Comment on a project's impacts</p> <ul style="list-style-type: none"> Comment on the environmental impacts of the project before the environmental document and project receive final approval by the board of the sponsoring agency, or in advance of federal approval, if required.

³ Source: A Guide to the San Francisco Bay Area's Transportation Improvement Program, or TIP — 2019 TIP Update — September 2018

Attachment B – Draft Programmatic Categories

The proposed programmatic categories and example project types are listed below:

Category	Systems	Project Types
Minor Highway Improvements	<ul style="list-style-type: none"> State Highway 	<ul style="list-style-type: none"> minor highway extension or new lane (less than ¼ mile); interchange modification (no additional capacity)
Minor Roadway Improvements	<ul style="list-style-type: none"> Local Road 	<ul style="list-style-type: none"> minor local road extension or new lane (less than ¼ mile)
Minor Transit Improvements	<ul style="list-style-type: none"> Public Transit 	<ul style="list-style-type: none"> minor/routine expansions to fleet and service; purchase of ferry vessels (that can be accommodated by existing facilities or new CE facilities); construction of small passenger shelters and information kiosks; small-scale/CE bus terminals and transfer points; public transit-human services projects and programs (including many Lifeline Transportation Program projects); ADA compliance; noise mitigation; landscaping; associated transit improvements (including bike/pedestrian access improvements); alternative fuel vehicles and facilities
Minor Freight Improvements	<ul style="list-style-type: none"> Freight 	<ul style="list-style-type: none"> construction of new, or improvements to existing, rest areas and truck weigh stations; improvements to existing freight terminals (not expansion)
New Bicycle & Pedestrian Facilities	<ul style="list-style-type: none"> Local Road State Highway 	<ul style="list-style-type: none"> new and extended bike and pedestrian facilities
Preservation/ Rehabilitation	<ul style="list-style-type: none"> Local Road State Highway Public Transit Tollway Freight 	<ul style="list-style-type: none"> pavement resurfacing and/or rehabilitation; bike/pedestrian facilities rehabilitation; non-pavement rehabilitation; preventive maintenance; emergency repair; bridge rehabilitation, replacement or retrofit with no new capacity; transit vehicle rehabilitation or replacement; reconstruction or renovation of transit buildings and structures; rehabilitation or reconstruction of track structures, track, and trackbed in existing rights-of-way; construction of new bus or rail storage/maintenance facilities (in industrial locations with adequate transportation capacity); modernization or minor expansions of transit structures and facilities outside existing right-of-way, such as bridges, stations, or rail yards; purchase of office and shop and operating equipment for existing facilities; purchase of operating equipment for vehicles, such as farebox, lifts, radios; purchase of support vehicles; toll bridge rehabilitation, replacement, or retrofit with no new capacity; freight track and terminal rehabilitation
Routine Operations & Maintenance	<ul style="list-style-type: none"> Local Road State Highway Public Transit Tollway 	<ul style="list-style-type: none"> routine patching and pothole repair; litter control, sweeping and cleaning; signal operations; communications; lighting; transit operations and fare collection; transit preventive maintenance; toll operations & fare collection
Management Systems	<ul style="list-style-type: none"> Local Road State Highway Public Transit Tollway 	<ul style="list-style-type: none"> incident management; signal coordination; ITS; TOS/CMS;

		<ul style="list-style-type: none"> • ramp metering; • transit management systems; • automatic passenger counters; • CAD-AVL; • fare media; • Transit Sustainability Project; • construction or renovation of power, signal, and communications systems; • toll management systems; • toll media
Safety & Security	<ul style="list-style-type: none"> • Local Road • State Highway • Public Transit • Freight 	<ul style="list-style-type: none"> • railroad/highway crossings and warning devices; • hazardous location or feature; • shoulder improvements; sight distance; • Highway Safety Improvement Program implementation; • Safe Routes to Schools projects and programs; • traffic control devices other than signalization; • guardrails, median barriers, crash cushions; pavement marking; • fencing; • skid treatments; • lighting improvements; • widening narrow pavements with no added capacity; • changes in vertical and horizontal alignment; • transit safety and communications and surveillance systems; • rail sight distance and realignments for safety; • safety roadside rest areas; • truck climbing lanes outside urban area; • emergency truck pullovers
Travel Demand Management	<ul style="list-style-type: none"> • Local Road • State Highway • Other 	<ul style="list-style-type: none"> • car and bike share; • alternative fuel vehicles and facilities; • parking programs; • carpool/vanpool, ridesharing activities; • information, marketing and outreach; • traveler information
Intersection Improvements	<ul style="list-style-type: none"> • Local Road 	<ul style="list-style-type: none"> • intersection channelization; • intersection signalization at individual intersections
Multimodal Streetscape Improvements	<ul style="list-style-type: none"> • Local Road 	<ul style="list-style-type: none"> • minor bicycle and/or pedestrian facility gap closure; • ADA compliance; • landscaping; • lighting; • streetscape improvements; • minor road diet (less than ¼ mile)
Land Use	<ul style="list-style-type: none"> • Other 	<ul style="list-style-type: none"> • land conservation projects; • TOD housing projects
Planning	<ul style="list-style-type: none"> • Other 	<ul style="list-style-type: none"> • planning and research that does not lead directly to construction
Emission Reduction Technologies	<ul style="list-style-type: none"> • Other 	

Attachment C - Horizon's Guiding Principles

MTC received over 10,000 unique comments from residents across the Bay Area in 2018 when we asked, "What are the most pressing issues we should consider as we plan for life in 2050?" This feedback helped MTC refine the five Guiding Principles, below, that underlie the Horizon initiative:

- **Affordable:** All Bay Area residents and workers have sufficient housing options they can afford—households are economically secure.
- **Connected:** An expanded, well-functioning transportation system connects the Bay Area—fast, frequent and efficient intercity trips are complemented by a suite of local transportation options, connecting communities and creating a cohesive region.
- **Diverse:** Bay Area residents support an inclusive region where people from all backgrounds, abilities and ages can remain in place—with access to the region's assets and resources.
- **Healthy:** The region's natural resources, open space, clean water and clean air are conserved—the region actively reduces its environmental footprint and protects residents from environmental impacts.
- **Vibrant:** The Bay Area is an innovation leader, creating quality job opportunities for all and ample fiscal resources for communities.

Attachment D – Project Performance Projects

Part A. Uncommitted Major Projects from Plan Bay Area 2040 (> \$250 million)

Type	#	Project Name
Local & Express Bus	1	AC Transit Local Service Frequency Increase
	2	Sonoma Countywide Service Frequency Increase
	3	MuniForward+ Service Frequency Increase
Bus Rapid Transit (BRT)	4	San Pablo BRT
	5	Geary BRT (Phase 2)
	6	El Camino Real BRT
BART	7	BART Core Capacity
	8	BART DMU to Brentwood
	9	BART to Silicon Valley (Phase 2)
Commuter Rail	10	Caltrain Downtown Extension
	11	Caltrain Full Electrification and Blended System ¹
	12	SMART to Cloverdale
Light Rail (LRT)	13	Downtown San Jose LRT Subway
	14	San Jose Airport People Mover
	15	Vasona LRT (Phase 2)
	16	Eastridge LRT
Ferry	17	WETA Service Frequency Increase
	18	WETA Ferry Network Expansion (Berkeley, Alameda Point, Redwood City, Mission Bay)
Pricing	19	Regional Express Lanes (MTC + VTA + ACTC + US-101)
	20	SR-152 Realignment and Tolling
	21	Downtown San Francisco Congestion Pricing
	22	Treasure Island Congestion Pricing
Freeways & Interchanges	23	I-680/SR-4 Interchange + Widening (Phases 3-5)
	24	SR-4 Operational Improvements
	25	SR-4 Widening (Brentwood to Discovery Bay)
	26	SR-239 Widening
	27	I-80/I-680/SR-12 Interchange + Widening (Phases 2B-7)
Other	28	Bay Bridge West Span Bike Path
	29	Bay Area Forward (Phase 1)
	30	Better Market Street

¹ High-Speed Rail service will be evaluated as part of the blended system only in one of the three Futures, and substituted with increased Caltrain service in the other two Futures

Part B-1. Transformative Projects from Public Agencies (>\$1 billion)

Type	#	Project Name
Local, Express Bus & BRT	31	AC Transit Transbay Service Frequency Increase
	32	AC Transit Rapid Network
	33	Alameda County BRT Network + Connected Vehicle Corridors ² *
BART	34	BART on I-680 *
	35	BART to Cupertino *
	36	BART to Gilroy
	37	BART Gap Closure (Millbrae to Silicon Valley) *
Commuter Rail	38	Caltrain Full Electrification and Enhanced Blended System ¹
	39	Caltrain Grade Separation Program
	40	SMART to Solano
	41	Dumbarton Rail (Redwood City to Union City) *
	42	ACE Rail Network and Service Expansion (including Dumbarton Rail)
	43	Valley Link (Dublin to San Joaquin Valley)
	44	Megaregional Rail Network + Resilience Project ² *
Light Rail (LRT)	45	Muni Metro Southwest Subway *
	46	Muni Metro to South San Francisco *
	47	Fremont-Newark LRT
	48	SR-85 LRT
	49	VT A North San Jose LRT Subway
	50	VT A LRT Systemwide Grade Separation
	51	VT A LRT Systemwide Grade Separation and Full Automation
	52	VT A LRT Systemwide Grade Separation and Network Expansion ² *
Freeway Capacity Expansion / Optimization	53	SR-37 Widening + Resilience + Express Bus Project ² *
	54	SR-12 Widening
	55	I-80 Busway + BART to Hercules ²
	56	I-680 Corridor Improvements (BRT, Express Bus Shared AVs, Gondolas) ² *
	57	I-580/I-680 Corridor Enhancements + Express Bus on I-680 ² *
	58	San Francisco Freeway GP-to-HOT Lane Conversions *
Bridges & Tunnels	59	Richmond-San Rafael Bridge Replacement
	60	Webster/Posey Tube Replacements
	61	SR-87 Tunnel
Other	62	Oakland/Alameda Gondola Network
	63	Contra Costa Autonomous Shuttle Program *
	64	Mountain View Autonomous Vehicle Network *
	65	Cupertino-Mountain View-San Jose Elevated Maglev Rail Loop *

* Submitted by member of public/NGO as well (either partially or fully)

² Individual components of network proposals may be required to undergo further project-level analysis for inclusion in the Plan

Part B-2. Transformative Projects from Individual/NGOs (>\$1 billion)

Type	#	Project Name
Jury Selected Individual components of network proposals may be required to undergo further project-level analysis for consideration in Plan Bay Area 2050.	66	Optimized Express Lane Network + Regional Express Bus Network
	67	Bus Rapid Transit (BRT) on All Bridges
	68	SMART to Richmond via New Richmond-San Rafael Bridge
	69	I-80 Corridor Overhaul
	70	Regional Bicycle Superhighway Network **
	71	Bay Trail Completion **

** While recognized by the jury as transformative transportation investments, this project may not go through benefit-cost analysis/project performance as it is considered non-capacity-increasing under federal guidelines.

Part B-3. Transformative Operational Strategies

Type	#	Project Name
Jury Selected	72	Integrated Transit Fare System
	73	Free Transit
	74	Higher-Occupancy HOV Lanes
	75	Demand-Based Tolls on All Highways
	76	Reversible Lanes on Congested Bridges and Freeways
	77	Freight Delivery Timing Regulation

Part B-4. Transformative Transbay Crossing Projects

Type	#	Project Name
Crossings	78	Bay Crossing Concept #1
	79	Bay Crossing Concept #2
	80	Bay Crossing Concept #3
	81	Bay Crossing Concept #4
	82	Bay Crossing Concept #5
	83	Bay Crossing Concept #6

Part B-5. Transformative Resilience Projects

Type	#	Project Name
Earthquakes	84	BART Caldecott Tunnel Resilience Project
Sea Level Rise	85	I-580/US-101 Marin Resilience Project
	86	US-101 Peninsula Resilience Project
	87	SR-237 Resilience Project
	88	Dumbarton Bridge Resilience Project
	89	I-880 Resilience Project
	90	VTA LRT Resilience Project



NAPA VALLEY TRANSPORTATION AUTHORITY TAC Agenda Letter

TO: Technical Advisory Committee
FROM: Kate Miller, Executive Director
REPORT BY: Diana Meehan, Senior Planner/Program Administrator
dmeehan@nvta.ca.gov
SUBJECT: Vision Zero Core Elements - From Policy to Implementation

RECOMMENDATION

Information only

EXECUTIVE SUMMARY

Vision Zero is a traffic safety policy that takes a principled approach toward achieving safety for all road users, setting the goal of zero traffic fatalities or severe injuries. There has been a dramatic growth in Vision Zero commitments in communities across the nation, and significant interest at the state and federal levels to address rising numbers of roadway fatalities and severe injuries.

Vision Zero policies typically address safety through coordinated engineering, enforcement and education efforts. These efforts require political commitment, multi-disciplinary leadership and a data-driven systems based approach to be successful.

Staff will review Vision Zero framework components with committees to receive feedback and consideration for inclusion in the Countywide Transportation Plan (CTP).

FISCAL IMPACT

None

BACKGROUND AND DISCUSSION

Vision Zero is a strategy originally implemented in Sweden in the 1990's. It has proven to be successful in reducing severe and fatal injuries across Europe and now in the U.S.

According to the Vision Zero network fact sheet (Attachment 1), more than 40,000 people per year are killed on American streets, and thousands more are seriously injured.

Traffic collisions have been traditionally referred to as “accidents” which suggest they are not preventable. In reality, many of these collisions could be prevented through proactive approaches that prioritize safety as a public health issue.

Several cities and even some states in the U.S. have adopted Vision Zero policies and strategies. Their experience as “early-adopter” cities has provided a high-level framework made up of nine components (Attachment 2) that are critical to providing long-lasting success.

Taking the core elements of Vision Zero to action and implementation requires two key components:

1. Organization of a Vision Zero Task Force-made up of multiple disciplines
2. Development of an action plan

In the current CTP – Vision 2040 – Moving Napa Forward, the second goal is to, “Improve system safety in order to support all modes and serve all users.”

NVTA is kicking off the CTP update, Vision 2045 – Advancing Mobility. One of the initial tasks the NVTA Board and the community will be asked to provide input on is the goals and performance measures for the plan. One consideration is to update the safety goal to include implementation of a Vision Zero policy and action plan.

SUPPORTING DOCUMENTS

Attachment(s): Attachment 1: Vision Zero Fact Sheet

Attachment 2: 9 Components of a Strong Vision Zero Commitment

A PRIMER ON VISION ZERO

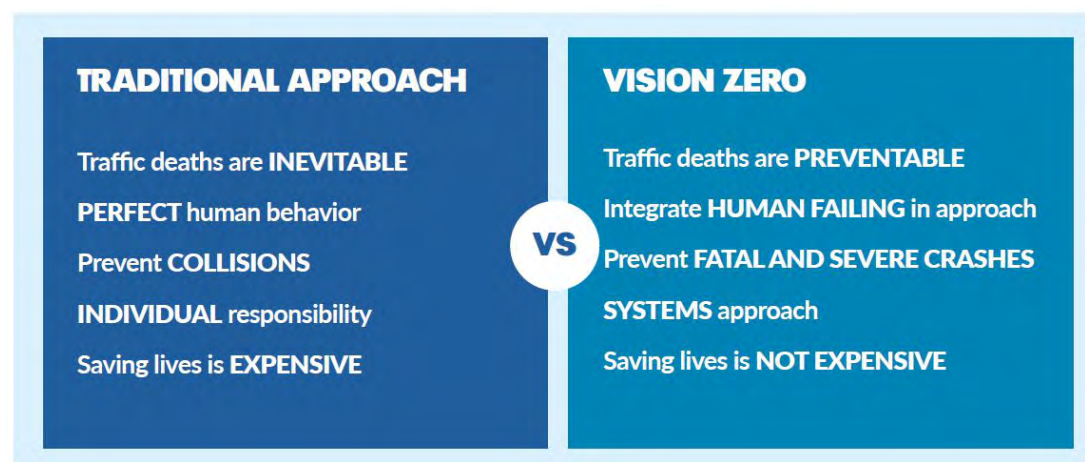
Advancing Safe Mobility for All

What is Vision Zero?

Vision Zero is a strategy to eliminate traffic fatalities and severe injuries among all road users, and to ensure safe, healthy, equitable mobility for all. First implemented in Sweden in the 1990s, where traffic deaths have been cut in half even while the number of trips increased, Vision Zero is gaining momentum across the globe, including in many U.S. communities.



Each year in the U.S., more than 40,000 people — an average of 100 people per day — are needlessly killed, and millions more are injured, in traffic crashes. While often referred to as “accidents,” the reality is that we can prevent these tragedies by taking a proactive, preventative approach that prioritizes traffic safety as a public health issue.



Changing the Status Quo - A New Vision for Safety

Vision Zero starts with the ethical belief that everyone has the right to move safely in their communities, and that system designers and policy makers share the responsibility to ensure safe systems for travel.

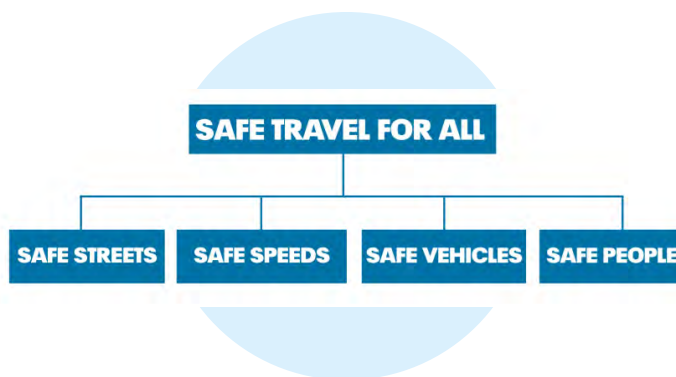
The Vision Zero approach recognizes that people will sometimes make mistakes, so the road system and related policies should be designed to ensure those inevitable mistakes do not result in severe injuries or fatalities. This means that system designers and policymakers are expected to improve the roadway environment, policies (such as speed management), and other related systems to lessen the severity of crashes.

Vision Zero Ethical Platform



What a Commitment to Vision Zero Means

Vision Zero is not a slogan, not a tagline, not even just a program. It is a fundamentally different way to approach traffic safety. Communities that want to succeed at Vision Zero need to acknowledge that business as usual is not enough and that systemic changes are needed to make meaningful progress. Effective communities will recognize and commit to core Vision Zero principles and strategies.



Committing to Vision Zero will take the following strategies:

- » Building and sustaining leadership, collaboration, and accountability – especially among a diverse group of stakeholders to include transportation professionals, policymakers, public health officials, police, and community members;
- » Collecting, analyzing, and using data to understand trends and potential disproportionate impacts of traffic deaths on certain populations;
- » Prioritizing equity and community engagement;
- » Managing speed to safe levels; and
- » Setting a timeline to achieve zero traffic deaths and serious injuries, which brings urgency and accountability, and ensuring transparency on progress and challenges.

Key among Vision Zero priorities are managing speed, centering equity, and engaging the community.



Managing Speed

Speeding kills more than 10,000 people each year in the U.S. – on par with drunk driving – yet, the act of speeding does not carry the same social consequences as drunk driving. Vision Zero calls on communities to prioritize safe speeds through safe street design, automated speed enforcement (or safety cameras), and setting safe speed limits.



Centering Equity

Safe mobility is a basic right, and Vision Zero is based on the premise that *all* people have the right to move about safely. Vision Zero communities should invest in proven safety strategies with a focus on ensuring equity. This includes identifying communities or populations that are disproportionately impacted by traffic deaths and serious injuries, and prioritizing roadway safety investments in these areas. It also means that *if* police are involved in Vision Zero, the community should make a public commitment to fair and equitable enforcement and ensure transparency and accountability on this commitment.



Engaging Communities

When it comes to experience and knowledge of how a neighborhood works, no one knows better than the people who live there. Assessing which needs are greatest requires complementing a data-driven approach with robust community engagement. The Vision Zero Network recommends working with and supporting community based organizations who have established trust and relationships with residents.

Find out more about Vision Zero and the nonprofit advocacy work of the Vision Zero Network at www.visionzeronetwork.org.

9 Components of a Strong Vision Zero Commitment

Based on the experiences of early-adopter cities in the United States, these nine components have proven to be an effective high-level framework for communities considering a Vision Zero commitment. While these are not the only factors to consider, they are critical aspects to ensure a strong and lasting commitment to Vision Zero.

POLITICAL COMMITMENT

The highest-ranking local officials (Mayor, City Council, City Manager) make an official and public commitment to a Vision Zero goal to achieve zero traffic fatalities and severe injuries among all road users (including people walking, biking, using transit, and driving) within a set timeframe. This should include passage of a local policy laying out goals, timeline, stakeholders, and a commitment to community engagement, transparency, & equitable outcomes.



MULTI-DISCIPLINARY LEADERSHIP

An official city Vision Zero Taskforce (or Leadership Committee) is created and charged with leading the planning effort for Vision Zero. The Taskforce should include, at a minimum, high-ranking representatives from the Office of the Mayor, Police, Transportation (or equivalent), and Public Health. Other departments to involve include Planning, Fire, Emergency Services, Public Works, District Attorney, Office of Senior Services, Disability, and the School District.



ACTION PLAN

Vision Zero Action Plan (or Strategy) is created within 1 year of initial commitment and is implemented with clear strategies, owners of each strategy, interim targets, timelines, & performance measures.



EQUITY

City stakeholders commit to both an equitable approach to Vision Zero by establishing inclusive and representative processes, as well as equitable outcomes by ensuring measurable benchmarks to provide safe transportation options for all road users in all parts of the city.



COOPERATION & COLLABORATION

A commitment is made to encourage meaningful cooperation and collaboration among relevant governmental agencies & community stakeholders to establish a framework for multiple stakeholders to set shared goals and focus on coordination and accountability.



SYSTEMS-BASED APPROACH

City leaders commit to and prioritize a systems-based approach to Vision Zero — focusing on the built environment, systems, and policies that influence behavior — as well as adopting messaging that emphasizes that these traffic losses are preventable.



DATA-DRIVEN

City stakeholders commit to gather, analyze, utilize, and share reliable data to understand traffic safety issues and prioritize resources based on evidence of the greatest needs and impact.

COMMUNITY ENGAGEMENT

Opportunities are created to invite meaningful community engagement, such as select community representation on the Taskforce, broader community input through public meetings or workshops, online surveys, and other feedback opportunities.



TRANSPARENCY

The city's process is transparent to city stakeholders and the community, including regular updates on the progress on the Action Plan and performance measures, and a yearly report (at minimum) to the local governing board (e.g., City Council).





NAPA VALLEY TRANSPORTATION AUTHORITY
TAC Agenda Letter

TO: Technical Advisory Committee (TAC)
FROM: Kate Miller, Executive Director
REPORT BY: Danielle Schmitz, Director of Programs, Projects and Planning
(707) 259-5968 | dschmitz@nvta.ca.gov
SUBJECT: California Transportation Commission (CTC) Annual Allocation Plan

RECOMMENDATION

Information Only.

EXECUTIVE SUMMARY

Regional Delivery Policy outlined in the Metropolitan Transportation Commission's (MTC) Resolution 3606 requires a project sponsor to submit an allocation extension by January 31st of the fiscal year the funds are programmed. Recently, many of the state and federal funding sources that require a California Transportation Commission (CTC) allocation, have fallen short of this deadline. None of the projects in the FY 2018-19 state programming request met the January 31st allocation request deadline outlined in Resolution 3606. The region's allocation and extension deadlines are earlier than the state's standards to ensure that local sponsors meet the June 30th deadline imposed by the state. MTC is proposing all regional projects that have to go before the CTC, including Senate Bill (SB 1) projects like the Active Transportation Program (ATP), Local Partnership Program (LPP), Solutions for Congestion Corridor Program (SCCP) and Trade Corridor Enhancement Program (TCEP) be included in a CTC Annual Allocation Plan so that MTC can better monitor program delivery.

FISCAL IMPACT

Is there a fiscal impact? No

BACKGROUND AND DISCUSSION

As the Metropolitan Planning Organization (MPO) and the Regional Transportation Planning Agency (RTPA) for the Bay Area, the MTC is responsible for programming state

and federal dollars to transportation projects in the region. Many of the funding and programming requirements that local project sponsors have to adhere to are outlined in MTC's Resolution 3606. For specific state and federal funds MTC must submit projects to the CTC for programming and/or allocation. At the May CTC meeting there were 48 Active Transportation Program (ATP) extension requests that went before the commission, 25% of them were from the Bay Area. In recent months, the CTC has been scrutinizing project delivery and asking the regional agencies, such as MTC, to better monitor the state and federal funding that comes through the regions to improve program delivery.

In response to the CTC's request, MTC has created a CTC Annual Allocation Plan. The intent behind the Annual Allocation Plan is to better monitor and track any projects that will go before the CTC for allocation in a given year. If an allocation or award extension is submitted to CTC by a project sponsor, MTC will require the project sponsor to hold a meeting with MTC and County Transportation Agency (CTA) staff, to review project issues and delays before concurring with the project sponsor's request. Should an agency fail to meet delivery deadlines and require an extension, MTC may prevent State Transportation Program (STP) and/or Congestion Mitigation Air Quality (CMAQ) funds from advancing in the following year's annual obligation plan.

SUPPORTING DOCUMENTS

Attachment(s): (1) PDWG Memo on CTC Annual Allocation Plan
 (2) CTC Allocation Plan projects
 (3) MTC Resolution 3606



Memorandum

TO: Programming and Delivery Working Group

DATE: May 22, 2019

FR: Karl Anderson

RE: California Transportation Commission (CTC) Annual Allocation Plan

Background

The California Transportation Commission (CTC) is responsible for programming and allocating specific state and federal funds. The CTC governs each funding program using guidelines that prescribe project delivery deadlines. If a project sponsor encounters an unforeseen and extraordinary circumstance beyond their control, the CTC may extend the deadlines once for allocation, contract award, expenditure, or contract completion. However, missing any of these deadlines can result in a project deletion and loss of the funds to the agency, county, and region.

CTC Annual Allocation Plan

In FY 2018-19, 16 state programmed projects requested allocation extensions, and zero met the January 31 deadline outlined in MTC Resolution 3606. In order to prevent loss of funding and avoid any future penalties in state programs, MTC will track all projects programmed in the Active Transportation Program (ATP), Local Partnership Program (LPP), Solutions for Congested Corridors Program (SCCP), State Transportation Improvement Program (STIP), and the Trade Corridor Enhancement Program (TCEP) in an annual CTC allocation plan. MTC staff will develop and maintain a separate allocation plan for all CTC-allocated funding programs in addition to the annual obligation plan of federal FHWA funds. The CTC annual allocation plan will provide a better focus on state-funded projects. Following the creation of the plan, MTC staff will contact all agencies with projects requiring CTC actions monthly to ensure projects are on schedule for delivery.

Regional Delivery Policy

Any project in the ATP, LPP, SCCP, STIP, and TCEP must adhere to the deadlines established in the region's delivery policy, MTC Resolution 3606. The region's allocation and extension deadlines are earlier than the state's standard deadlines: requests are due to Caltrans Local Assistance no later than January 31 of the fiscal year the funds are programmed. The earlier date ensures projects do not miss the June 30 end-of-year delivery deadlines imposed by the CTC.

If a project encounters a delay and an extension is necessary, sponsors should alert MTC staff as soon as possible. Currently, when an agency submits an allocation or award extension request, MTC staff concurs with minimal discussion. Starting in FY 2019-20, MTC staff will require a conference call or in-person meeting with the sponsor's delivery team and the respective CTA programming staff, in addition to an updated listing of all the sponsor's FHWA/CTC programmed projects.

Should an agency fail to meet these delivery deadlines, MTC will not allow STP/CMAQ projects to advance into the following year's annual obligation plan. MTC expects that project sponsors prioritize and deliver existing programmed projects with imminent deadlines before committing to additional work.

These will be the requirements for all extension requests. Please keep in mind the state reserves their right to levy any future penalties in their funding programs. For instance, in the ATP, the state may deduct points from project applications based on an agency's previous project delivery performance.

Moving Forward

Staff will continue to provide delivery updates and CTC meeting development schedule updates at the various working group meetings to ensure any necessary extensions make the CTC agendas on time.

If you have any questions regarding state delivery procedures, please contact Kenneth Kao at (415) 778-6768 or kkao@bayareametro.gov or Karl Anderson at (415) 778-6645 or kanderson@bayareametro.gov.

Attachments:

- A. DRAFT: CTC Annual Obligation Plan FY 2019-2020

J:\COMMITTEE\Partnership\Partnership PDWG\2019 PDWG\2019_PDWG Memo\01_May 22 2019 Packet\03Bii_CTC Allocation Plan.docx

\\mtcfs2.ad.mtc.ca.gov\j_drive\PROJECT\Funding\T5-FAST\STP-CMAQ\Obligations and Delivery\Obligation Status Reports\[FY2019-20 CTC Allocation Plan.xlsx]Draft FFY 2019-20 Status May 21

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

**ATTACHMENT 3
TAC Agenda Item 7.3
June 6, 2019**

Regional Project Funding Delivery Policy Intent

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

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

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

General Policy Guidance

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

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

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

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

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

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

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

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

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

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

Regional Discretionary Funding:

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

Programming to Apportionment in the year of Obligation/Authorization

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

Advanced Project Selection Process

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

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

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

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

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

Advance Construction Authorization (ACA)

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

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

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

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

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

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

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

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

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

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

Federal Rescissions

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

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

Annual Obligation Plan

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

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

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

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

Local Public Agency (LPA) Single Point of Contact

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

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

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

FHWA-Administered Project Milestones Status

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

Local Public Agency (LPA) Qualification

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

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

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

Maximizing Federal Funds on Local Projects

To facilitate project delivery and make the most efficient use of federal funds, project sponsors are encouraged to concentrate federal funds on fewer, larger projects and maximize the federal share on federalized project so as to reduce the overall number of federal-aid projects.

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

Specific Project-Level Policy Provisions

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

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

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

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

- **Field Reviews**

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

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

- **Environmental Submittal Deadline**

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

- **Obligation/Request For Authorization (RFA) Submittal Deadline**

Projects selected to receive Regional Discretionary funding must demonstrate the ability to obligate programmed funds by the established deadlines. This criterion will be used for selecting projects for funding, and for placement in a particular year of the TIP. It is the responsibility of the implementing agency to ensure the funding deadlines can be met.

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

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

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

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

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

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

In Summary:

- Request For Authorization (RFA) Submittal Deadline: November 1 of the fiscal year the funds are programmed in the federal TIP. The Implementing Agency is required to submit a complete Request for Authorization (RFA)/ obligation/transfer package to Caltrans (3 months prior to the Obligation Deadline). For projects with federal funds administered by the CTC, such as STIP and State-TAP, the required CTC allocation request documentation must also be submitted by November 1 in order to meet the January 31 obligation deadline of federal funds.
- Obligation /Authorization Deadline: January 31 of the fiscal year the funds are programmed in the TIP, including funds administered by the CTC, such as STIP and state-TAP. No extensions will be granted to the obligation deadline for regional discretionary funds.

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

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

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

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

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

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

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

- **Coordination with CTC allocations**

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

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

- **Program Supplement Agreement (PSA) Deadline**

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

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

- **Construction Advertisement / Award Deadline**

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

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

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

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

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

- **Regional Invoicing and Reimbursement Deadlines – Inactive Projects**

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

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

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

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

- **State Liquidation Deadline**

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

- **Project Completion /Close-Out Deadline**

Implementing Agencies must fully expend federal funds on a phase one year prior to the estimated completion date provided to Caltrans.

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

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

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

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

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

Consequences of Missed Deadlines

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

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

Regional Project Delivery Principles

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

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

Regional Project Delivery Policy Guidance

MTC Resolution 3606

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

<http://www.mtc.ca.gov/funding/delivery>

January 22, 2014