625 Burnell Street, Napa CA 94559

Napa County Transportation and Planning Agency (NCTPA)

Board of Directors

AGENDA

Wednesday, October 16, 2013
1:30 p.m.

NCTPA/NVTA Conference Room
625 Burnell Street
Napa CA 94559

General Information

All materials relating to an agenda item for an open session of a regular meeting of the NCTPA Board of Directors are posted on our website at www.nctpa.net/agendas-minutes/12 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 NCTPA Board of Directors, 625 Burnell Street, Napa, California 94559, Monday through Friday, between the hours of 8:00 a.m. and 5:00 p.m., except for NCTPA holidays. Materials distributed to the present members of the Board at the meeting will be available for public inspection at the public meeting if prepared by the members of the NCTPA Board 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 Board on any item at the time the Board 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 Board Secretary. Also, members of the public are invited to address the Board 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 Karrie Sanderlin, NCTPA Board 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 NCTPA website at www.nctpa.net, click on Minutes and Agendas – NCTPA Board or go to www.nctpa.net/agendas-minutes/12

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

ITEMS

1. Call to Order – Chair Keith Caldwell
2. Pledge of Allegiance
3. Roll Call

Members:

Joan Bennett	City of American Canyon
Leon Garcia, Mayor	City of American Canyon
Chris Canning, Mayor	City of Calistoga
James Barnes	City of Calistoga
Scott Sedgley	City of Napa
Jill Techel, Mayor	City of Napa
Keith Caldwell	County of Napa
Bill Dodd	County of Napa
Ann Nevero, Mayor	City of St. Helena
Peter White	City of St. Helena
Lewis Chilton	Town of Yountville
John F. Dunbar, Mayor	Town of Yountville
JoAnn Busenbark	Paratransit Coordinating Council

4. Public Comment
5. Chairperson's, Board Members' and Metropolitan Transportation Commission (MTC) Commissioner's Update
6. Director's Update
7. Caltrans' Update

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

8. **PRESENTATION**	**TIME**
8.1 A Tour of the New VINE Buses will be Provided.	1:45 PM

9. **CONSENT ITEMS 9.1- 9.4)**	**RECOMMENDATION**	**TIME**
9.1 Approval of Meeting Minutes of September 18, 2013 (Karrie Sanderlin) ***(Pages 8-12)***	APPROVE	2:00 PM

9.2	Approval of Resolution No. 13-19 Adopting the Transportation Fund for Clean Air (TFCA) Program Manager Final List of Projects for FYE 2014 (Danielle Schmitz) ***(Pages 13-19)*** Board action will approve the list of projects for the TFCA FYE 2014 Program Manager Funds allocating $198,756.	APPROVE
9.3	Approval of an Agreement with GFI Genfare, a Division of SPX Corporation, for the Automated Fare Management Point of Sale (POS) and Inventory Management System (Antonio Onorato) ***(Pages 20-40)*** Board action will authorize the Executive Director to piggyback upon a contract between Gold Coast Transit and GFI Genfare, a division of SPX Corporation, and enter into an agreement with GFI Genfare for the purchase and install an automated fare management point of sale and inventory management system in an amount not to exceed $70,000.	APPROVE

10.	**REGULAR AGENDA ITEMS**	**RECOMMENDATION**	**TIME**
10.1	Legislative Update and State Bill Matrix (Kate Miller) ***(Pages 41-55)*** The Board will receive the monthly Federal and State Legislative Update.	INFORMATION	2:05 PM

10.2 Approval of Resolution No. 13-20 Authorizing the Submittal of an Application for 2014 State Transportation Improvement Program (RTIP) Funding (Danielle Schmitz) ***(Pages 56-77)*** Board action will approve Resolution No. 13-20 authorizing the submittal of an application to the Metropolitan Transportation Commission (MTC) applying for RTIP funds in the amount of $8.921 million in three categories: (1) Planning, Programming and Monitoring - $165,000; (2) Other Funds - $8.051 million for Capital Improvement Projects; and (3) $705,000 in State Transportation Improvement Program (STIP) Reserve.	APPROVE	12:10 PM

11. INTERJURISDICTIONAL ISSUES FORUM	**RECOMMENDATION**	**TIME**
11.1 Interjurisdictional Issues Discussion Forum and Information Exchange Board Members are encouraged to share specific new projects with interjurisdictional impacts.	INFORMATION	2:15 PM

12. CLOSED SESSION		**TIME**
12.1 **PUBLIC EMPLOYEE PERFORMANCE EVALUATION (Government Code Section 54957)** Title: Executive Director		2:20 PM

13.	**FUTURE AGENDA ITEMS**		**TIME**
	13.1 Discussion of Topics for Next Meeting.		3:10 PM
14.	**ADJOURNMENT**	**RECOMMENDATION**	3:15 PM
	14.1 Approval of Meeting Date of November 20, 2013 and Adjournment	APPROVE	

I hereby certify that the agenda for the above stated meeting was posted at a location freely accessible to members of the public at the NCTPA offices, 625 Burnell Street, Napa, CA, by 5:00 p.m., Friday October 11, 2013.

Karalyn E. Sanderlin, NCTPA Board Secretary

Glossary of Acronyms

AB 32	Global Warming Solutions Act
ABAG	Association of Bay Area Governments
ADA	American with Disabilities Act
BAAQMD	Bay Area Air Quality Management District
AVAA	Abandoned Vehicle Abatement Authority
BART	Bay Area Rapid Transit District
BATA	Bay Area Toll Authority
BRT	Bus Rapid Transit
Caltrans	California Department of Transportation
CEQA	California Environmental Quality Act
CIP	Capital Investment Program
CMA's	Congestion Management Agencies
CMAQ	Congestion Mitigation and Air Quality Improvement Program
CMP	Congestion Management Program
CTC	California Transportation Commission
EIR	Environmental Impact Report
FAS	Federal Aid Secondary
FHWA	Federal Highway Administration
FTA	Federal Transit Administration
FY	Fiscal Year
GHG	Greenhouse Gas
HBP	Highway Bridge Program
HBRR	Highway Bridge Replacement and Rehabilitation Program
HIP	Housing Incentive Program
HOT	High Occupancy Toll
HOV	High Occupancy Vehicle
HR3	High Risk Rural Roads
HSIP	Highway Safety Improvement Program
HTF	Highway Trust Fund
IFB	Invitation for Bid
ITIP	State Interregional Transportation Improvement Program
JARC	Job Access and Reverse Commute
LIFT	Low-Income Flexible Transportation
LOS	Level of Service
MPO	Metropolitan Planning Organization
MTC	Metropolitan Transportation Commission
MTS	Metropolitan Transportation System
NCTPA	Napa County Transportation and Planning Agency
NEPA	National Environmental Policy Act
NOC	Notice of Completion
NOD	Notice of Determination
NOP	Notice of Preparation
NVTA	Napa Valley Transportation Authority
OBAG	One Bay Area Grant
PCI	Pavement Condition Index
PDA	Priority Development Areas
PMS	Pavement Management System
Prop. 42	Statewide Initiative that requires a portion of gasoline sales tax revenues be designated to transportation purposes
PSR	Project Study Report
PTA	Public Transportation Account
RACC	Regional Agency Coordinating Committee
RFP	Request for Proposal
RFQ	Request for Qualifications
RHNA	Regional Housing Needs Allocation
RM2	Regional Measure 2 (Bridge Toll)
RTEP	Regional Transit Expansion Program
RTIP	Regional Transportation Improvement Program
RTP	Regional Transportation Plan
SAFE	Service Authority for Freeways and Expressways
SAFETEA-LU	Safe, Accountable, Flexible, and Efficient Transportation Equity Act-A Legacy for Users
SCS	Sustainable Community Strategy
SHOPP	State Highway Operation and Protection Program
SR	State Route
SRTS	Safe Routes to School
SOV	Single-Occupant Vehicle
STA	State Transit Assistance
STIP	State Transportation Improvement Program
STP	Surface Transportation Program
TCM	Transportation Control measure

Glossary of Acronyms

TCRP	Traffic Congestion Relief Program
TDA	Transportation Development Act
TDM	Transportation Demand Management Transportation Demand Model
TE	Transportation Enhancement
TEA	Transportation Enhancement Activities
TEA 21	Transportation Equity Act for the 21st Century
TFCA	Transportation Fund for Clean Air
TIP	Transportation Improvement Program
TLC	Transportation for Livable Communities
TMP	Traffic Management Plan
TMS	Transportation Management System
TOD	Transit-Oriented Development
TOS	Transportation Operations Systems
TPP	Transit Priority Project Areas
VHD	Vehicle hours of Delay
VMT	Vehicle Miles Traveled

Napa County Transportation and Planning Agency (NCTPA)

Board of Directors

MINUTES

Wednesday, September 18, 2013

DRAFT

ITEMS

1. Call to Order

Chair Caldwell called the meeting to order at 1:33 p.m.

2. Pledge of Allegiance

Chair Caldwell led the salute to the flag.

3. Roll Call

Members Present:

		Voting Power
Leon Garcia	City of American Canyon	(1)
Belia Bennett	City of American Canyon	(1)
James Barnes	City of Calistoga	(1)
Michael Dunsford	City of Calistoga	(1)
Scott Sedgley	City of Napa	(4)
Keith Caldwell	County of Napa	(2)
Mark Luce	County of Napa	(2)
Ann Nevero	City of St. Helena	(1)
Peter White	City of St. Helena	(1)
Lewis Chilton	Town of Yountville	(1)

Members Absent:

Jill Techel	City of Napa	(6)
John Dunbar	Town of Yountville	(1)

Non-Voting Member Present:

JoAnn Busenbark	Paratransit Coordinating Council	(0)

4. Public Comment

None.

5. **Chairperson's, Board Members' and Metropolitan Transportation Commission (MTC) Commissioner's Update**

No Reports Given

6. **Director's Update**

No oral report given. The Executive Directors update was provided in the meeting handout packet.

7. **Caltrans' Update**

No oral report given. The September 2013 Caltrans Reporting Memo was provided in the meeting handout packet.

8. **CONSENT ITEMS (8.1 – 8.9)**

At the request of Board Member Barnes, Item 8.4 was pulled for further discussion.

MOTION MOVED by GARCIA SECONDED by WHITE to **APPROVE** Consent Items 8.1-8.3 and 8.5-8.9. **Motion Passed 15-0.**

8.1 Approval of Meeting Minutes of July 17, 2013

8.2 Resolution No. 13-13 Approving the FY 2013-14 Salary Ranges for NCTPA Job Classifications

Board action approved Resolution No. 13-13 approving the FY 2013-14 Salary Ranges for NCTPA Job Classifications based upon the Bay Area Consumer Price Index (CPI) ending December 2012 of 2.7%.

8.3 Resolution No. 13-14 Amending the FY 2013-14 Budget Adjustments

Board action approved Resolution No. 13-14 amending the FY 2013-14 Budget to increase appropriation of Public Transit services by $319,102.

8.4 Resolution No. 13-15 Delegating Authority to the Executive Director to Sign and Record Notices of Completion

At the request of Board Member Barnes, Item 8.4 was pulled for further discussion.

Janice Killion, NCTPA Legal Counsel, clarified the requirements for filing and recording Notices of Completion.

DRAFT

MOTION MOVED by WHITE SECONDED by BENNETT to **APPROVE** Resolution No. 13-15 delegating authority to the Executive Director to sign and record Notices of Completion (NOC). **Motion Passed 15-0.**

8.5 Approval to Remove and Dispose of Obsolete Fareboxes from NCTPA Fixed Asset Inventory List

Board action approved the removal of forty-one (41) obsolete transit fareboxes from the fixed asset inventory and dispose of the assets according to NCTPA policy.

8.6 Memorandum of Understanding (MOU) between the Napa County Transportation and Planning Agency (NCTPA) and the City of St. Helena

Board action approved the MOU between NCTPA and the City of St. Helena for the provisions of transit services.

8.7 Resolution No. 13-16; Resolution No. 13-17; and Resolution No. 13-18, Authorizing the Executive Director to Execute Fund Transfer Agreements with the State of California Department of Transportation (Caltrans) for FY 2012-13 and FY 2013-14 State Transportation Improvement Program (STIP) Planning, Programming and Monitoring (PPM) Program

Board action approved Resolution No. 13-16; Resolution No. 13-17; and Resolution No. 13-18, authorizing the Executive Director to Execute Fund Transfer Agreements with the State of California Department of Transportation (Caltrans) for FY 2012-13 and FY 2013-14 State Transportation Improvement Program (STIP) Planning, Programming and Monitoring (PPM) Program in the total amount of $207,000.

8.8 Agreement with the Napa Valley Wine Train

Board action authorized the Executive Director to execute, and make minor modifications to an agreement with the Napa Valley Wine Train to allow access to Wine Train passengers to cross and to allow the Napa Valley Wine Train to construct a crosswalk across the Trancas Park and Ride Facility as part of the Napa Valley Wine Train's Union Station project.

8.9 Approval of NCTPA Agreement No. 13-12 Soscol Gateway Transit Center Hub Signage Project

Board action approved an agreement with ERBCO Construction Services Inc. of San Francisco, CA for work to be performed for the Hub Signage Project in an amount not to exceed $185,000.

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9. REGULAR AGENDA ITEMS

9.1 Legislative Update and State Bill Matrix

Kate Miller, Executive Director, reviewed the monthly Legislative Update

MOTION MOVED by WHITE SECONDED by CHILTON to **APPROVE** staff's recommendations on pending state bill as outlined and provided in Attachment 1. **Motion Passed 15-0.**

10. INTERJURISDICTIONAL ISSUES FORUM

10.1 Interjurisdictional Issues Discussion Forum and Information Exchange

Board Members shared specific new projects with interjurisdictional impacts.

11. CLOSED SESSION

Janice Killion, NCTPA Legal Council, announced that the Board would be adjourning to closed session for the one item (eight properties) as noted in the agenda (Conference with Real Property Negotiator). Further, Ms. Killion announced that there is no reportable action anticipated.

Adjourned to Closed Session at 1:58 p.m.

11.1 CONFERENCE WITH REAL PROPERTY NEGOTIATOR (Government Code Section 54946.8)

Property: APN 057-070-001-000
Agency Negotiator: Kate Miller, Executive Director
Negotiating Parties: Giles, Kimbal Griggs & Blodget-Therese Giles
Under Negotiation: Price and terms of Payment

Property: APN 057-170-019-000
Agency Negotiator: Kate Miller, Executive Director
Negotiating Parties: Ronald M. Fedrick
Under Negotiation: Price and terms of Payment

Property: APN 057-170-018-000
Agency Negotiator: Kate Miller, Executive Director
Negotiating Parties: Fennell, Michael L. & Anne E., ETAL
Under Negotiation: Price and terms of Payment

DRAFT

Property: APN 046-370-027-000
Agency Negotiator: Kate Miller, Executive Director
Negotiating Parties: Boca Company
Under Negotiation: Price and terms of Payment

Property: APN 035-110-028
Agency Negotiator: Kate Miller, Executive Director
Negotiating Parties: Arthur J. Housely and Judith A. Housely, Trustees
Under Negotiation: Price and terms of Payment

Property: APN's 007-082-001 and 007-082-002
Agency Negotiator: Kate Miller, Executive Director
Negotiating Parties: New East Frontiers, Inc.
Under Negotiation: Price and terms of Payment

Property: APN 007-082-004
Agency Negotiator: Kate Miller, Executive Director
Negotiating Parties: Michael D. Marino
Under Negotiation: Price and terms of Payment

Property: APN 007-120-011
Agency Negotiator: Kate Miller, Executive Director
Negotiating Parties: De La Salle Institute
Under Negotiation: Price and terms of Payment

Adjourned to Open Session at 2:30 p.m.

Chair Caldwell reported that there was no reportable action taken during closed session.

12. FUTURE AGENDA ITEMS

Board Member Nevero requested a review of the VINE Route 29 and the Route 10 buses as she would like to improve commuter bus service to St. Helena.

13. ADJOURNMENT

13.1 Approval of Meeting Date of October 16, 2013 and Adjournment

The next regular meeting will be held Wednesday October 16, 2013 at 1:30 p.m.

The meeting was adjourned by Chair Caldwell at 2:35 p.m.

_____
Karalyn E. Sanderlin, NCTPA Board Secretary

DRAFT

October 16, 2013
NCTPA Agenda Item 9.2
Continued From: April 17, 2013
Action Requested: APPROVE

NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY
Board Agenda Letter

TO: Board of Directors

FROM: Kate Miller, Executive Director

REPORT BY: Danielle Schmitz, Associate Planner
(707) 259-5968 / Email: dschmitz@nctpa.net

SUBJECT: Approval of Resolution No. 13-19 Adopting the Transportation for Clean Air (TFCA) Program Manager Projects List for FYE 2014

RECOMMENDATION

That the Napa County Transportation and Planning Agency (NCTPA) Board approve Resolution No. 13-19 (Attachment 1) adopting the list of projects for the TFCA FYE 2014 Program Manager Funds allocating $198,756 dollars.

COMMITTEE RECOMMENDATION

The Technical Advisory Committee (TAC) reviewed the projects at their October 4, 2013 meeting and recommends approval.

EXECUTIVE SUMMARY

Annually the NCTPA adopts a list of projects for the TFCA Program Manager funds generated under AB 434. The funds come from a four-dollar vehicle license fee imposed by the Bay Area Air Quality Management District (BAAQMD) and are known as Transportation Fund for Clean Air (TFCA). Forty percent of these funds are returned to the NCTPA for distribution to local projects. Projects must have an air quality benefit and be cost effective. The remaining sixty percent is allocated by the BAAQMD on an area-wide competitive basis. Generally, the BAAQMD rules and statutes only allow funds to be retained for two years unless an extension is requested.

The TFCA program can fund a wide range of project types, including the construction of new bicycle lanes; shuttle and feeder bus services to train stations; ridesharing programs to encourage carpool and transit use; bicycle facility improvements such as bicycle racks and lockers; and arterial management projects that reduce traffic congestion such as signal interconnect projects.

PROCEDURAL REQUIREMENTS

1. Staff Report
2. Public Comment
3. Motion, Second, Discussion and Vote

FISCAL IMPACT

Is there a fiscal impact? Yes, $198,756 of TFCA Program Manager funds for FYE 2014.

Is it currently budgeted? Yes.

Where is it budgeted? The Board approved the TFCA Expenditure Plan for FYE 2014 on February 20th.

Is it Mandatory or Discretionary? Discretionary.

Future Fiscal impact: None.

Consequences if not approved: If not allocated, NCTPA is at risk of losing the FYE 2014 Program Manager Funds. The funds would then be programmed by the BAAQMD on a competitive basis under the Regional TFCA Program.

CEQA REQUIREMENTS

ENVIRONMENTAL DETERMINATION: The proposed action is not a project as defined by 14 California Code of Regulations 15378 (State CEQA Guidelines) and therefore CEQA is not applicable.

BACKGROUND AND DISCUSSION

The Transportation Fund for Clean Air (TFCA) is a grant program, funded by a $4 surcharge on motor vehicles registered in the Bay Area. This generates approximately $22 million per year in revenues. The purpose of the TFCA program is to provide grants to implement the most cost-effective projects in the Bay Area that will decrease motor vehicle emissions, and thereby improve air quality.

Annually the NCTPA adopts a list of projects for the TFCA Program Manager funds. Napa County has approximately $198,756 in Program Manager Funds for FYE 2014. This amount includes $9,616 set aside for Administration costs for NCTPA in the FYE 2014 Expenditure Plan, leaving $189,140 for eligible projects.

On February 20, 2013 the NCTPA Board opened a call for projects for the TFCA Program Manager Funds and on April 17th extended the call due to lack of project submittals.

The proposed final list of projects for FYE 2014 is shown in Table 1 below. All projects have undergone a cost effective analysis and are eligible to receive funds. Approved projects will be submitted to the BAAQMD.

Table 1: Proposed FYE 2014 TFCA Program Manager Projects

FYE 2014 TFCA Expenditures	**Amount**
Administration Costs for FYE 2014	$9,616
Solano Napa Commuter Information (SNCI) Napa Commute Challenge in FY 13-14 and FY 14-15	$40,000
St. Helena Pope Street Class II Bike Lane	$40,000
American Canyon Park and Ride Lot	$95,000
City of Napa Electric Vehicle Charging Station	$14,140
TOTAL	**$198,756**

SUPPORTING DOCUMENTS

Attachments: (1) Resolution No. 13-19
(2) TFCA Expenditure Plan Application for FYE 2014

RESOLUTION No. 13-19

A RESOLUTION OF THE NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (NCTPA) ADOPTING THE TRANSPORTATION FUND FOR CLEAN AIR (TFCA) PROGRAM MANAGER FINAL LIST OF PROJECTS FOR FYE 2014

WHEREAS, the Bay Area Air Quality Management District (BAAQMD) has imposed a vehicle license fee as authorized under Assembly Bill 434 to implement actions that will help clean the air; and

WHEREAS, that program is known as the Transportation Fund for Clean Air Program Manager funds; and

WHEREAS, Assembly Bill 434 requires the designation of an overall program manager to receive forty percent of the fees generated in the county to be expended for the improvement of air quality; and

WHEREAS, the Napa County Transportation and Planning Agency (NCTPA) has been designated the overall program manager for the County of Napa; and

WHEREAS, the NCTPA has carefully considered the requests it has received for AB 434 funds following the standards for weighing such requests as adopted by the Board.

NOW THEREFORE BE IT RESOLVED that the Napa County Transportation and Planning Agency adopts the following expenditures for FYE 2014 overall program manager funds:

Project Descriptions

- NCTPA Administration Costs (14NAP00)
- Solano Napa Commuter Information (SNCI) Napa Commute Challenge for FY 13-14 and FY 14-15 (14NAP01) - SNCI will conduct two Napa Commute Challenges for eligible employers.
- St. Helena Pope Street Class II Bike Lane (14NAP02) – St. Helena will construct class II bike lane on Pope Street to enhance the bicycle network.

- American Canyon Park and Ride Lot (14NAP03) – American Canyon will construct a park and ride lot at the corner of James Road and Crawford Road for transit riders and bicyclist utilizing the commuter bus service to BART and the Vallejo Ferry.

- City of Napa Electric Vehicle Charging Stations (14NAP04) – The City of Napa will purchase dual electric vehicle charging stations for public use.

BE IT FURTHER RESOLVED that the Napa County Transportation and Planning Agency had determined that these expenditures are the most cost-effective and appropriate uses of these funds to minimize harmful air pollutants.

BE IT FURTHER RESOLVED that the Executive Director or his/her designee is authorized to submit or request all necessary information to or from other agencies on behalf of the NCTPA, and to execute any other documents or certifications to gain and expend these funds as directed.

Passed and adopted this 16th day of October, 2013.

_____
Keith Caldwell, NCTPA Chair

Ayes:

Noes:

Absent:

ATTEST:

_____
Karalyn E. Sanderlin, NCTPA Board Secretary

APPROVED:

_____
Janice Killion, NCTPA Legal Counsel

SUMMARY INFORMATION

County Program Manager Agency Name: Napa County Transportation and Planning Agency

Address: 625 Burnell St., Napa, CA 94559

PART A: NEW TFCA FUNDS

1. Estimated FYE 2014 DMV revenues (based on projected CY2012 revenues): Line 1: $185,634.00
2. Difference between prior-year estimate and actual revenue: Line 2: $6,695.45
   a. Actual FYE 2012 DMV revenues (based on CY2011): $187,052.45
   b. Estimated FYE 2012 DMV revenues (based on CY2011): $180,357.00
   ('a' minus 'b' equals Line 2.)
3. Estimated New Allocation *(Sum of Lines 1 and 2)*: Line 3: $192,329.45
4. Interest income. List interest earned on TFCA funds in calendar year 2012. Line 4: $4,000.09
5. Estimated TFCA funds budgeted for administration:[1] Line 5: $9,616.47
   (Note: This amount may not exceed 5% of Line 3.)
6. **Total new TFCA funds available in FYE 2014 for projects and administration Line 6:** $196,329.54
   (Add Lines 3 and 4. These funds are subject to the six-month allocation deadline.)

PART B: TFCA FUNDS AVAILABLE FOR REPROGRAMMING

7. **Total amount from previously funded projects available for reprogramming to other projects.** *(Enter zero (0) if none.)* **Line 7:** $2,103.37
   (Note: Reprogrammed funds originating from pre-2006 projects are not subject to the six-month allocation deadline.)

PART C: TOTAL AVAILABLE TFCA FUNDS

8. **Total Available TFCA Funds** *(Sum of Lines 6 and 7)* **Line 8:** **$198,432.91**
9. Estimated Total TFCA funds available for projects *(Line 8 minus Line 5)* Line 9: $188,816.44

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

Executive Director Signature: _____ Date: 3/6/13

[1] The "Estimated TFCA funds budgeted for administration" amount is listed for informational purposes only. Per California Health and Safety Code Section 44233, County Program Managers must limit their administrative costs to no more than 5% of the actual total revenue received from the Air District.

SUMMARY INFORMATION - ADDENDUM

Complete if there are TFCA Funds available for reprogramming.

Project #	Project Sponsor/Grantee	Project Name	$ TFCA Funds Allocated	$ TFCA Funds Expended	$ TFCA Funds Available	Code*
09NAP	NCTPA	Expenditure Plan Application	$218,867.33	$218,846	$21.33	UB
10NAP03	County of Napa	Tubbs Class II bike lane	$51,000	$48,565.89	$2,434.11	UB
11NAP00	NCTPA	Administration	$9,000.55	$9,352.62	-$352.07	

TOTAL TFCA FUNDS AVAILABLE FOR REPROGRAMMING $2,103.37
(Enter this amount in Part B, Line 7 of Summary Information form)

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

October 16, 2013
NCTPA Agenda Item 9.3
Continued From: New
Action Requested: APPROVE

NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY
Board Agenda Letter

TO: Board of Directors

FROM: Kate Miller, Executive Director

REPORT BY: Antonio Onorato, Program Manager - Finance
(707) 259-8779 / Email: aonorato@nctpa.net

SUBJECT: Authorizing an Agreement with GFI Genfare, a Division of SPX Corporation, for the Automated Fare Management Point of Sale (POS) and Inventory Management System

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RECOMMENDATION

That the Napa County Transportation and Planning Agency (NCTPA) authorize the Executive Director to piggyback upon a contract between Gold Coast Transit and GFI Genfare, a division of SPX Corporation, and enter into an agreement with GFI Genfare for the purchase and installation of an automated fare management point of sale and inventory management system in an amount not to exceed $70,000.

COMMITTEE RECOMMENDATION

None.

EXECUTIVE SUMMARY

VINE Transit's current sales collection system consists of two independent cash registers and reporting on spreadsheets. The reporting, tracking, and resources needed are excessive, and is prone to human error. Paper files are handed to NCTPA for record keeping. NCTPA/VINE Transit needs to replace these registers to meet current technology and fare sales requirements.

Gold Coast Transit, at its February Board Meeting, awarded a contract to SPX Corporation, GFI GenFare Division, for the purchase and installation fareboxes and fare related equipment, which includes procuring a POS and inventory management system.

Federal rules specifically allow one transit agency to piggyback on the procurement of another transit agency, providing federal procurement regulations are adhered to.

PROCEDURAL REQUIREMENTS

1. Staff Report
2. Public Comments
3. Motion, Second, Discussion and Vote

FISCAL IMPACT

Is there a fiscal impact? Yes. Up to $70,000

Is it currently budgeted? Yes. Current year capital program in Public Transit Fund-Farebox Modernization Phase 2.

Is it mandatory or discretionary? Discretionary

Consequences if not approved: Agency will continue to use current system which contributes to customer service inefficiencies.

CEQA REQUIREMENTS

ENVIRONMENTAL DETERMINATION: The proposed action is not a project as defined by 14 California Code of Regulations 15378 (State CEQA Guidelines) and therefore CEQA is not applicable.

BACKGROUND AND DISCUSSION

As previously noted, VINE Transit's current fare sale system consists of two independent cash registers and spreadsheets which are printed and filed on a daily basis. The reporting on the spreadsheet is then inputted onto a form and a deposit authorization created. Calculation errors can occur through this process. This process is obsolete, uses a disproportionate amount of staff resources and is inefficient.

NCTPA's current inventory reporting system is also managed through spreadsheets. Again, the process is obsolete, uses a disproportionate amount of staff resources, and is inefficient.

NCTPA has an immediate need for an automated management farebox POS and inventory management system. The sales quote for system through SPX is $63,883. The POS system includes software, hardware for the operation of Point of Sale and Cash Accounting modules for transit, training and warranty. NCTPA may need to procure additional software/hardware which is separate and not included in the bid documents. The total amount of this project should not exceed $70,000.

This procurement would "piggyback" onto Gold Coast Transit's GFI farebox procurement. Gold Coast Transit issued a Request for Proposals 12-04 on August 20,

2012 for the Replacement of Fare Boxes and a Fare Collection System. Three proposals were received and the proposal from SPX Corporation, GFI GenFare was selected. The agreement between Gold Coast Transit and GFI GenFare allows for farebox related system equipment such as a POS system to be assigned to other transit agencies. Gold Coast followed federal procurement regulations which allow NCTPA "piggyback" on to this purchase and enter into an agreement with SPX Corporation using Federal Transit Administration revenues. This form of procurement also significantly reduces the NCTPA's procurement costs.

SUPPORTING DOCUMENTS

Attachments: (1) SPX Genfare Sales Quote
(2) SPX GFI Genfare Subcontractor Proposal- Productive Solutions

SPX
Genfare

Genfare
A Division of SPX Corporation
751 Pratt Boulevard
Elk Grove Village, IL 60007
Ph: (847) 593-8855
Fax:(847) 593-8870

Sales Quotation

Information

Sales Quote No.	5004154
Document Date	08/28/2013
Customer No.	596
Currency	USD
Contact Name	
Phone	707-259-8631
FAX	707-259-8638
EMAIL	
Validity Start Date	08/28/2013
Validity End Date	12/31/2013
Req Delivery Date	08/28/2013

Sold-To-Party
NCTPA-VINE
Suite 100 707 Randolph
Napa CA 94559

Ship-To-Party
Napa City Bus
720 Jackson St. - Bus Yard
Napa CA 94559

End User
NCTPA-VINE
Suite 100 707 Randolph
Napa CA 94559

Item	Material	Quantity	Price	Amount
10	ITEM	1 EA	59,151.00 USD	59,151.00
	POS and Inventory Control modules			
		Tax	4,732.08 USD 1 EA	4,732.08
	Final amount:			63,883.08

Signature: M A Mahon **Date:** 08/28/2013

Sales Representative: Mark Mahon **Phone:** 847-871-1115
Email: mark.mahon@spx.com

Genfare Price Quotation Summary Terms & Conditions: All prices are valid for 30 days unless otherwise noted above. Delivery will be made within 120 days ARO unless other dates are quoted above. Payment terms are Net 30 days after delivery and based on Genfare customer credit acceptance. Notwithstanding any modifications negotiated with the customer,warranty is (1) year from installation date or (14) months from shipment for new system equipment,whichever comes first. All warranty items must be directed to Genfare for acceptance and disposition, not through OEM Bus Manufacturing Companies. The complete terms of the Genfare warranty are listed at www.genfare.com. Prices do not include any state or local taxes unless specifically listed. Tax is based on shipment and/or invoice date not quote and/or purchase order date. Quotation is FOB Elk Grove Village, IL and freight charges are not included. All price quotations are submitted in accordance with standard Genfare terms and conditions which are available on request.

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SECURITY-SENSITIVE TOOLS INTEGRITY-BASED TECHNOLOGY

A Division of VF Management LTD

Napa County Transportation Proposal

AFM Point of Sale

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About Productive Solutions

Based in Reno, Nevada, Productive Solutions was founded in 1992 and is an industry leader in providing custom applications and system integration services for streamlining workflow processes.

Productive Solutions has assisted regional transportation authorities with fare media pass production and personalized identification for over 15 years, and has also provided systems for point of sale, cash accounting, inventory control, tracking and reporting. Our experience in other industries includes solutions for time and attendance, access control, and providing interfaces to work with a variety of applications and environments.

Our solutions are based on a core software module that is customized for each client. This ensures a dependable and cost effective solution for:

- Interfacing systems for better data sharing
- Streamlining processes for improved efficiency, accuracy, tracking and reporting
- Training and ongoing support to ensure consistent organization-wide use
- Ensuring scalability for future expansions and needs

Productive Solution's AFM system is a comprehensive solution for effectively managing all facets of transit fare media production, inventory, sales and accounting, and is authorized to seamlessly interface with GFI Fare Structures.

Key Staff

The Productive Solutions staff is comprised of experienced and committed individuals who are focused on understanding each client's needs. In addition, we have established long-term partnerships with other industry experts ready to assist as needed.

Ed Vauk, Contract Negotiations
Over 20 year's business management

Cheryl Vauk, Project Manager
Over 20 years' experience in corporate management and information technologies

Fether Dugan, Project Coordinator
Over 5 years' experience in sales and distribution management

Kelli Broberg, Senior System Integrator
Over 6 years' experience in system modifications and installation integration

Allison Urick, System Hardware and Support specialist
Over 4 years' experience in system modifications and installation integration

Douglas Buchanan, Programmer
Over 10 years' experience in programming and system design, multiple platform

Kendra Barraza, Documentation and Training
Over 2 years' experience in system documentation and training

References

Productive Solutions has developed successful and long-term relationships with our clients, who are located throughout the United States. Our client references include:

Long Beach Transit
Jennifer Abro, 562-599-8544
1963 E. Anaheim Street, Long Beach, CA 90801-8753

Orange County Transportation Authority
Lloyd Sullivan, 714-560-5957
600 South Main Street, Orange, CA 92863

Spokane Transit Authority
Theresa Overhauser, 509-325-6063
1230 West Boone Avenue, Spokane, WA 99201

Additional references available upon request.

Approach

Productive Solutions takes a hands-on, team-oriented approach that ensures effective communications and efficient use of resources. Following are the key steps we are recommending for Napa County Transportation fare media project.

Productive Solutions will coordinate and conduct a kick-off meeting with Transit stakeholders to review and/or establish project objectives, timelines, roles and responsibilities, communication channels, and reporting requirements. Productive Solutions will meet with the designated Oxnard project team to define tasks, responsibilities, and timelines.

We will also coordinate and conduct regular meetings throughout the project to monitor and update the project plan, resolve issues and remove any roadblocks.

Once a project plan and effective timeline is established, Productive Solutions will conduct project team overview training on application functionality enabling the team to effectively carry out responsibilities during the project. This also helps determine user teams and identify responsibilities, while further identifying specific software needs, such as interfaces, and reports.

Productive Solution will provide on-site Installation and Training of the fare media module. As well as provide online help and user manuals created specifically for Napa County Transportation.

Deliverables

The AFM system solution includes software and hardware for the operation of Point of Sale and Cash Accounting modules for transit.

All modules are Windows web-based applications, using MSSQL or Oracle DataBase.

AFM Point of Sale Module

The AFM Point-of-Sale system automates the entire media fare sales tracking process, from opening to closing of individual cash drawers, and provides detailed reports for effective auditing and reconciliation. Transactions post to the appropriate tendered category and general ledger account at the same time tracking the printed ID of the smart passes accordingly.

- ❒ SQL database/web enabled application
- ❒ Browser architecture
- ❒ Point-of-sale locations will be equipped for sales and transaction accounting. Each location operates from a computer and is equipped by Productive Solutions with a cash drawer, smart card reader/writer, and receipt printer as well as optional hardware. Stations are enabled to accept currency and check tender types. The existing credit card terminals at Napa County Transportation will supply a "Reference" number to enter into the AFM POS for Credit Card tender type that will enable Oxnard's finance team to link the two transactions together. Receipt printers are enabled to issue receipts for sales types of transaction completed on the AFM POS system. Each stations smart card reader/writer has the capability to read/write any individual fare media pass available for sale, allowing for quick and efficient processing and tracking of inventory and sales. The system displays and prints receipts in English only.
- ❒ AFM POS will be enabled to read and write to Classic smart chips. Reading and Writing of smart cards needs to be done individually to avoid collisions.
- ❒ As each transaction is processed showing what item(s) were sold, what serial number(s) was added to. (if applicable) Once this sale is completed the smart card can be encoded with product (passes or stored value) this feature provides superior auditability and control over the encoding of smart cards. The system also documents which cashier completed the transaction, time and date of the transaction, and whether the purchase was tendered via cash, check or credit card.
- ❒ Summary and detailed transaction reports can be generated for each bank/cashier for the day or for a designated period of time within the shift.
- ❒ Automated electronic cash drawers are supplied with each workstation. These cash drawer units are fully mountable, include inserts for currency and media control, and are wired to the operating system to ensure a fully automated system that adheres to Oxnard sales transaction procedures. Units are also equipped with a manual keyed lock for emergency or supervisor access.

POS Exceptions:

- ❒ Ability to print type of fare media on pass, i.e. 1-day, 7-day, 31-day

AFM Point-of-Sale functionality does not include card printing for classic smart cards or any personalized ID's such as Seniors or Reduced Fare. (This is a function of other AFM modules)

- ❒ Ability to encode multiple smart cards, at one sitting, for the different fare media, i.e. 1,000 7-day passes, 2,000 31-day passes, 3,000 1-day passes, etc.
- ❒ Automated Interface to Credit Card processor

Software version does not include integration capability to a clearing house for credit card transactions. The system does include entry points for type and approval verification from standalone processing units.

Point of Sale station hardware

The following hardware and supplies will be provided by Productive Solutions as part of Napa County Transportation's Point of Sale Solution. Information and specifications of hardware are included in the addendum section of this document.

Magnetic Stripe Readers - IBC Smart Mag J magnetic stripe readers

Cash Drawers - APG 100 mountable cash drawers with tills

Receipt Printers - Epson thermal receipt/label printers. (One case of receipt paper)

Inventory Control and Tracking Module

Inventory Control is a comprehensive application providing the ability to follow fare media from the time the passes are purchased from the supplier or produced in house to the final sale to individuals, vendors or institutions. Included are:

- Processes with validation and batching of all pass inventory incoming pre-printed, pre-encoded passes and non-encoded smart cards.
- Ability to scan and record all passes to the system either by individual or batch entry with an exception report is generated for any missing sequential numbers.
- Automatic assignment of account code, GL number, pre-encoded serial number, price, and on-hand quantity for all inventoried items
- Ability to create additional locations as needed
- Reports generated by item, location, serial number,or by dollar value
- Reports to assess inventory liability and organization-wide or by individual inventory location
- Unlimited user viewing and paper report printing, and data access functionality for network users.

Additional benefits:

- This system allows for maintaining and adding new inventory items and distribution points at any time.

- When inventory is transferred to a location or sold, the system will automatically adjust the inventory, showing which location it was sold from.
- Inventory is requested by locations via a "request" transaction. Accounts Receivable will fill the request by creating an associated "transfer" transaction. When a batch is received at the requesting location, a barcode label is scanned into the system, confirming that the items have been received and are now a part of the inventory of that specific safe and location.
- The module will trail an item from the time it is scanned into the system until it is dispersed. Personnel with approved authority (permission rights) can generate reports at any time at any terminal in the network to show how many of each type of pass and what serialized numbers have been sold, and how many are on hand. Reports have the ability to sort by date, item or general ledger account. These reports are useful for providing real time "snapshots" of inventory and revenues.

Software Support

Productive Solutions is committed to ensuring excellence in client satisfaction and will provide Napa County Transportation with full system software support for one year after installation of the Point-Of-Sale system. Annual support services include:

- ❒ Unlimited toll free telephone support during normal business hours
- ❒ Dedicated and experienced U.S. based help desk technicians
- ❒ An automated system for tracking each issue through resolution
- ❒ Online support through Logmein (or a comparable product preferred by The Transit), which enables Productive Solutions to log in and provide remote technical support directly on The Transit AFM system, with limited disruption to system users. This service is available upon approval by The Transit IT.
- ❒ Productive Solutions will also provide online help and user manuals customized for The Transit.

Server & Workstation Requirements

The following hardware and servers must be supplied by GFI or Napa County Transportation and approved by Productive Solutions.

Workstation Requirements

Item	Description
Processor	2.5GHz or higher, Dual Core or better
RAM	4 GB or more
Disk Space	60 GB or more
Minimum 3 USB	For POS
Serial Port for Sony EVI100 (Not needed for the Orbit)	
Windows XP or Windows 7 32 Bit Operating System	
All Workstation Monitors	Screen Optimization of 1280 x 1024 resolution

1. Virtual Machines can be used and are preferred for the Server
2. Client has the option of using existing server environments. The application and database can be placed on the same server or separate if the standard environment prefers.
3. VPN or RDP connectivity is required for installation and support for workstations, application, and database.
4. Administrator access to workstations, applications, and database instance for installation.
5. Firewall and Security:
    a. Client must be flexible enough in their security to allow firewall openings for data traffic between the SQLServer instance and the workstation. If the application server and SQL instance are physically separated client must install and maintain IIS on the workstation and allow PS specific ports to be opened on the firewall.
    b. SQLServer security must be set to Mixed Mode with TCP enabled.

Server Requirements

Item	Additional Information
Windows Server 2003 (32 or 64 bit)	SP2 w/IIS
Windows Server 2008 (32 or 64 bit)* preferred	w/IIS, Application Development (w/ASP.NET), IIS 6.0 Management Compatibility
Microsoft SQL Server 2005/2008	w/Reporting Services Installed
Microsoft .NET Framework 2.0	SP2 (IIS should be installed prior to .NET)
Microsoft .NET Framework 3.5	SP1
Microsoft .NET Framework 4.0	
Disk Space	100 GB or more
Microsoft Report Viewer Redistributable 2005	

Pricing

Point-Of-Sale Module	
Two Software POS license , first years support Setup GFI Fare Structure for reading magnetic encoded passes AFM POS Software per station($9,375), Hardware each station ($1,513) Total PER POS station (each)*$10,888* *(Computer NOT included)*	$21,776
Inventory Control Module	
Software and licenses for one station, first years support *(Computer NOT included)*	$25,000
System setup and configuration, onsite 3 days installation and training	$5,000
The total cost does not include any personal workstations, servers or operating systems. These can be quoted for an additional fee if requested.	
System Total	**$51,776**

Prices Do Not include any project documentation beyond normal online user manuals. Additionally, the above figures do not reflect any costs for project meetings for PDR, FDR, SIT or any other testing at GFI or Colorado.

Options	
Interface between AFM POS system and current accounting program Doesn't include any cost that the current accounting system my charge. Interfaces are not always available with every accounting system	$5,000
Second Year Software Support System Support each subsequent year of the combined above modules	$2,375

** Prices exclude applicable sales tax. Purchase order or purchase card required for implementation*

Terms
Invoice Terms net DUE
Invoice GFI for 80% delivery of software and hardware
Invoice GFI 20% final installation and training completion

Timelines

Productive Solutions in proposing the following schedule:

Notice to Proceed	Acceptance of proposal signed contract
1 - 10 Days	Kick-off meeting, Go to Meeting
15 Days	Discovery and design meeting, Go to Meeting
20-45 Days	Software modifications at PS
52-53 Days	Software and hardware installation in test center
53-54 Days	Staff training
54 -55 Days	Install hardware at designated locations
56 Days	Go live

Timeline excludes weekend and holidays

Addendum

Please refer to the attached documents for the following information:

Hardware Cut Sheets

- APG Series 100 Cash Drawer
- Epson Thermal, On-Demand Label, Receipt,
- Magnetic Desktop reader

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THE RECOGNIZED LEADER OF SUPERIOR QUALITY CASH DRAWERS

HEAVY DUTY

SERIES 100 CASH DRAWER

EFFICIENT, COMPACT DESIGN

Small in size, the APG Series 100 cash drawer does not compromise efficiency, it actually improves upon it, increasing the effectiveness of your workstation.

Designed around a full size till, the narrow footprint of the Series 100 minimizes the amount of counter space required. There is still ample storage in a deep under-till compartment to hold coin rolls and packaged currency. An adjustable media slot divider separates and organizes different media types.

With features including steel ball bearing slides and a robust latch mechanism, the Series 100 is proven beyond 4 million cycles. A durable till design and the resilient powder coat finish resist the abuse in even the toughest environments. Size, color, interface, accessory and configuration options complete the Series 100 solution and contribute to APG's reputation as the preferred choice amongst cash drawers.

APG CASH DRAWER®
The Recognized Leader

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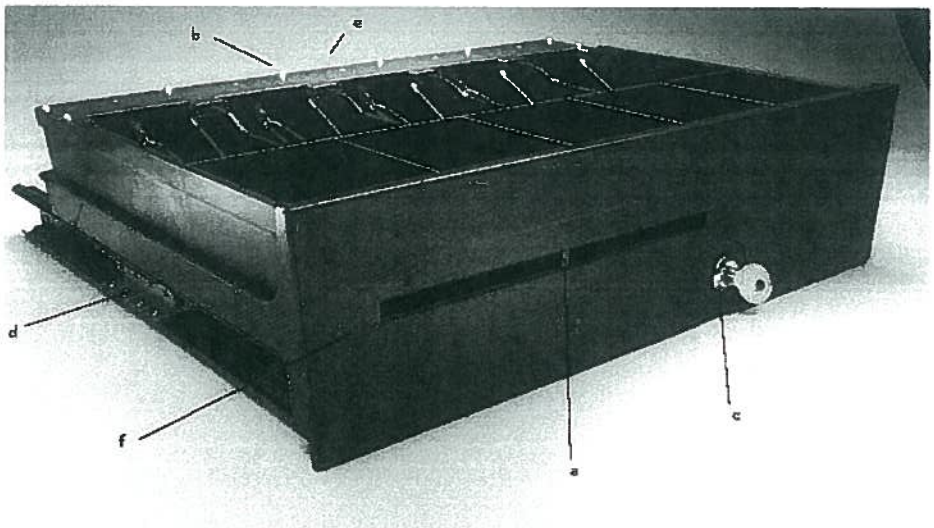
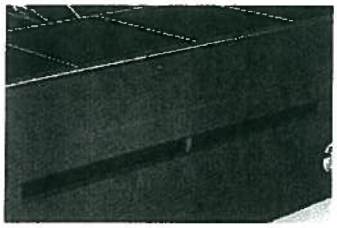
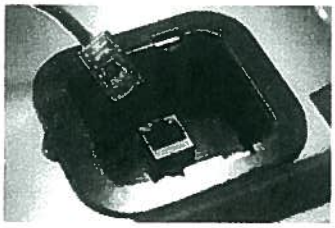
SUPERIOR FEATURES, SUPERIOR FUNCTION



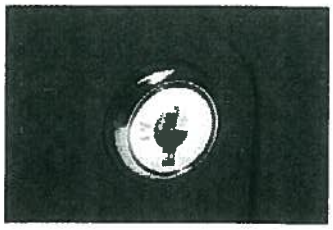
KEY FEATURES OF THE SERIES 100



a | Adjustable Media Divider
Media divider easily snaps in and out of place for several organization options.



b | MultiPRO® Interface
The MultiPRO interface adapts to most POS platforms.



c | Four-Function Lock
Proven four-function lock offers several levels of security: locked closed, locked open, online, manual open.

d | Narrow Footprint
Heavy duty slides tucked under the till saves space.

e | Heavy Duty Latch Mechanism
Provides consistent operation.

f | Injection-Molded Inner Drawer
Coin roll storage and configurable compartments.

Made in the U.S.A.

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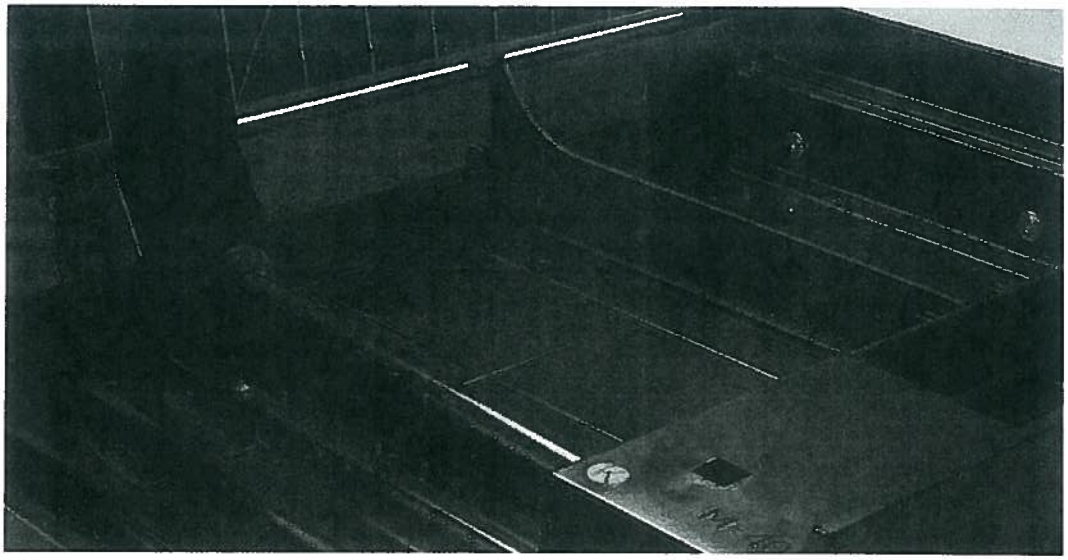
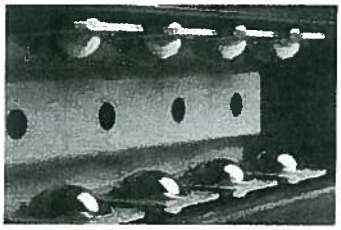
PROVEN DURABILITY



An adjustable media slot divider organizes different media types.

EXCEPTIONAL COMPONENTS AND CONSTRUCTION



Industrial-Grade Steel Ball Bearing Slides
Ensures effortless performance and durability.

Heavy Duty Latch Mechanism
A perfect balance between ease of operation and robust construction.

Heavy Duty Till
Equipped with strong dividers and comfort coated hold downs.

Rugged Materials
Sturdy steel, durable plastics and a resilient powder coated finish are able to resist the toughest environments.

Robust Engineered Suspension
Guarantees seamless performance.

Reliablity
Tested to 4 million operations.

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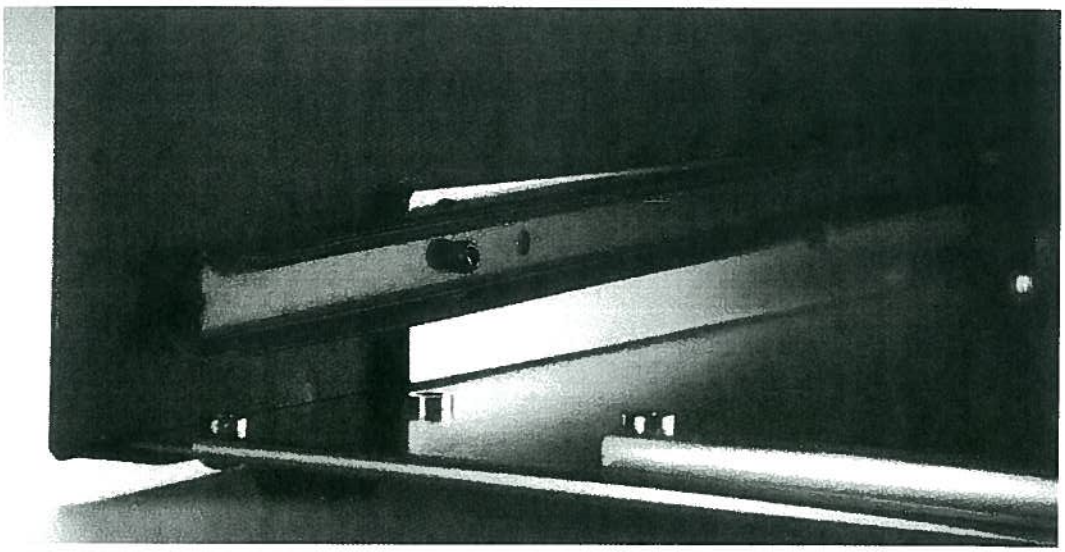
OUR SERIES 100 CASH DRAWER

NARROW FOOTPRINT LARGE CAPACITY SERIES 100

Models (w x d x h)	Styles	
1616 16.0 x 16.7 x 4.9 inch 406 x 424 x 125 mm Standard 5 x 5 Till	Black Front Black Case	
16195 16.0 x 19.5 x 4.9 inch 406 x 495 x 125 mm Standard 5 x 5 Till	Cloud White Front Cloud White Case	



Superior Opening Technology
Inclined drawer slide allows for consistent opening speed.

APG CASH DRAWER®
The Recognized Leader

Limited Warranty
Five (5) year limited warranty will apply to any electrical or mechanical components found to be defective in material or workmanship (Registration required at www.apgcd.com/home/warranty registration.php). All warranty parts or repairs will be made F.O.B. APG's facility.

US Patent #4066308
Other Patents Pending.

APG® Cash Drawer, the APG Cash Drawer logo, SerialPRO®, MultiPRO®, POS Organizer®, USBPro™, ParallelPRO™, POS Integrator™, MonitorPRO™, Vasario™, POS Podium™, Cash Drawer Caddy™ and POS Partner® are trademarks of APG Cash Drawer.

APG Cash Drawer, LLC
5250 Industrial Blvd N.E.
Minneapolis, Minnesota 55421-1012

Tel 763.571.5000 • Fax 763.571.5771 • www.apgcd.com
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(M-43-001 Rev. G)

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The Best-selling Thermal Printer Just Got Even Better

Epson TM-T88V POS Printer

ENERGY STAR

The TM-T88V is the latest addition to Epson's industry-leading TM-T88 POS printer series. Designed for use in food service and retail environments, the TM-T88V offers more speed, features and reliability than ever before.

- Fast and versatile printing up to 300mm/second
- Same fast print speed for both text and graphics
- Industry-first true grayscale printing of graphics
- Best-in-class reliability with a MCBF of 70 million lines
- Dual interfaces standard including built-in USB plus one UIB interface
- Ease-of-use features including drop-in paper loading, autocutter and status LEDs
- OS support for Microsoft® Windows 7, Vista, XP, 2000; Mac OS X v10.4, v10.5, v10.6 (Power PC/ Intel Processor) and Linux
- Low power consumption, multiple configurations are ENERGY STAR qualified
- Handles 80 or 58mm paper roll sizes
- Features print options to reduce paper usage
- Improved cover design protects against foreign objects
- Industry-leading four-year limited warranty

High-speed, high-resolution text and graphics printing

Now you can speed customer throughput with the TM-T88V printer. It prints both receipts and graphics at the same high speed of up to 300mm per second—50% faster than the TM-T88IV. And it's the first printer in the industry to offer 16 levels of grayscale to ensure clear, crisp graphics.

Reliability you can count on

With a MCBF of 70 million lines, 35% higher than the TM-T88IV, and an autocutter life of 2 million cuts, the TM-T88V delivers best-in-class reliability so critical in high volume environments.

Easy to use. Easy to maintain.

The TM-T88V is packed with easy-to-use features including drop-in paper loading, an autocutter, easy-to-read LEDs and an improved cover design to protect the printer from foreign objects.

More features, more flexibility

The TM-T88V also features auto speed adjustment for smoother printing, margin and line reduction functions to reduce paper usage and costs, and more barcode options including 2D. In addition, it comes with dual interfaces (USB and one additional interface) for flexibility in handling interface transitions.

ENERGY STAR qualified

The TM-T88V was the first POS printer to be ENERGY STAR qualified[1] and uses up to 89% less power than competitive printers in its class.[2]

Industry-leading four-year limited warranty

The TM-T88V is backed by Epson's industry-leading service and support programs and comes with a four-year limited warranty. To learn more about the TM-T88V and its advanced printing performance, go to pos.epson.com.

EPSON®
EXCEED YOUR VISION

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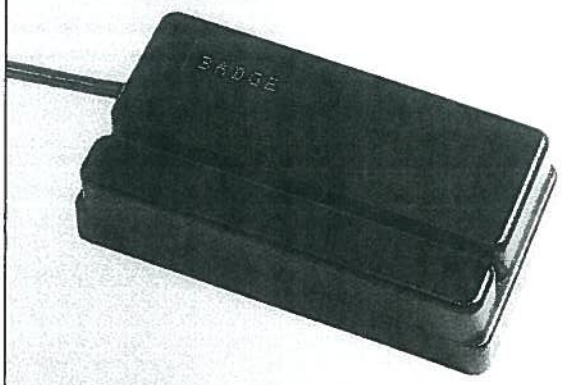
Versatile Magnetic Stripe Swipe Reader

Smart Mag J

for reading magstripes into virtually any type of system



The Smart Mag J is a versatile magnetic stripe reader, available in many different interfaces for connecting to a variety of systems. Features and options include multiple tracks, a good read beep, programmable LEDs, alphanumeric display, relay, sense inputs, programmable magstripe masking, networking and weatherproofing for outdoor use. Available interfaces include PC wedge (keyboard emulation), RS232, RS422, TCP/IP, DTMF, wiegand, wand emulation and USB. The Smart Mag J is a versatile solution for almost any system which requires magnetic stripe swipe reading.

- **1 or 2 tracks**
- **Programmable magstripe masking**
- **Addressable (networked) using RS422 or TCP/IP**
- **Bidirectional reading**
- **Custom configurations available**
- **POE w/EZPower**

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International Bar Code

160 Oak Street
Glastonbury, CT 06033 USA
Tel: (860) 659-9660
Fax: (860) 657-3860
email: info@interbar.com
http://interbar.com

October 16, 2013
NCTPA Agenda Item 10.1
Continued From: New
Action Requested: INFORMATION

NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY
Board Agenda Letter

TO: Board of Directors

FROM: Kate Miller, Executive Director

REPORT BY: Kate Miller, Executive Director
(707) 259-8634 / Email: kmiller@nctpa.net

SUBJECT: Legislative Update and State Bill Matrix

RECOMMENDATION

That the Napa County Transportation and Planning Agency (NCTPA) Board receive the monthly Federal and State Legislative Update.

COMMITTEE RECOMMENDATION

None.

EXECUTIVE SUMMARY

The Board will receive a Federal legislative update and State legislative update (Attachment 1) from Platinum Associates.

PROCEDURAL REQUIREMENTS

1. Staff Report
2. Public Comment
3. Motion, Second, Discussion and Vote

FINANCIAL IMPACT

Is there a fiscal impact? No.

CEQA REQUIREMENTS

ENVIRONMENTAL DETERMINATION: The proposed action is not a project as defined by 14 California Code of Regulations 15378 (California Environmental Quality Act (CEQA) Guidelines) and therefore CEQA is not applicable.

BACKGROUND AND DISCUSSION

Federal Update

Government Shutdown and Transportation Funding
Several failed attempts by House Republicans to end and then to delay implementation of the Patient Protection and Affordable Care Act (Obama-Care) as part of the budget negotiations resulted in a federal government shut down – the first shut down in 17 years. All federal employees are furloughed except those deemed as essential government employees. For transportation, over 18,000 U.S. Department of Transportation (DOT) agency staff members have been furloughed.

For the Federal Transit Administration, this means that roughly 95% of its staff are furloughed, while only a third of the Federal Highway Administration (FHWA) are furloughed. The variation is explained by the structure for how each agency within the DOT is funded. FTA funding requires an annual appropriation which usually happens as part of the Transportation, Housing and Urban Development or THUD bill as part of the annual budget appropriations. Consequently, FTA FY 2013-14 grants cannot be obligated, and reimbursements for expenditures on grants already obligated have stopped.

FHWA employees are paid out of mandatory budget authority derived from the Highway Trust Fund and authorized through FY 2015 by MAP 21. FHWA project funding is also structured through budget authority and reimbursements for FHWA-funded projects will continue to be funded unless Congress fails to take steps to increase the debt ceiling. Treasure Secretary, Jack Lew, sent a letter to Congress indicating that the federal government's borrowing limit would need to be increases to $16.7 trillion by October 17th or the Treasury would not be able to pay its bills.

SUPPORTING DOCUMENTS

Attachments: (1) October 7, 2013 State Legislative Update
(2) State Bill Matrix

October 7, 2013

TO: Kate Miller, Executive Director
Napa County Transportation and Planning Agency

FR: Steve Wallauch
Platinum Advisors

RE: Legislative Update

The Legislature wrapped up the first year of the 2013-14 session, and they are not expected to return to Sacramento until January 6th. For the most part adjournment was uneventful. A few pieces of legislation that received a lot of media attention were the Sacramento Arena, fracking, an increase in the minimum wage, and driver's licenses for undocumented immigrants. The most interesting turn of events was the Governor's public announcements in support of measures in an effort to get them moving, and the repeated occurrence of late session amendments resulting in opponents and proponents switching sides.

Session ended a little bit after midnight on Thursday, September 12th after a long week of floor sessions. All bills not sent to the Governor for consideration are now considered "two-year" bills and can be revisited when the Legislature reconvenes in January. All two-year bills must be out of their house of origin by the end of January in order to remain alive. In addition, bills held on the Suspense Files in either the Senate or Assembly Appropriations Committees are also considered two-year bills, but these measures rarely move forward once they are held.

The Governor has until October 13th to sign or veto the bills sent to his desk. An updated bill matrix will be sent with the final outcome on October 14th.

BUDGET

The Numbers: September is one of the largest revenue months for the state because it is when the first round estimated tax payments from capital gains are submitted. The LAO has been closely tracking the daily numbers and so far capital gains taxes appear to exceed expectations. Capital gains receipts for September could reach $2 billion, or about $500 million above projections. This might be offset a little by lower than expected corporate tax receipts. Overall September might surpass estimates, but we must wait for the monthly cash reports, which should be out in the next week or two.

POLICY:

AB 32 Scoping Plan: Following a series of workshops this summer, the California Air Resources Board has released a discussion draft of its AB 32 Scoping Plan update. CARB has scheduled workshop on October 15th in Sacramento, which will be webcast. The Board will be updated at the October 24th meeting, and a Board

discussion about the Scoping Plan is set for the December meeting, which will provide an additional opportunity to comment on the Plan. The Board is not expected to adopt the updated Plan until spring 2014.

The discussion plan continues to focus on the same six areas – Energy, Transportation-Land Use-Fuels & Infrastructure, Agriculture, Water, Waste Management, and Natural & Working Lands. While the transportation piece focuses the implementation of sustainable communities strategies and goods movement, the new report also mentions several times the need to provide easy and equitable access to public transit and the need to expand the use of zero or near zero emission transit vehicles. A copy of the discussion draft AB 32 Scoping Plan can be found at:
http://www.arb.ca.gov/cc/scopingplan/2013_update/discussion_draft.pdf

SGC Draft Guidelines: The Strategic Growth Counsel released it revised draft guidelines for the next round of grants from the Sustainable Communities Planning Grant & Incentive Program. Public comments on the revised draft guidelines must be submitted by 5:00 p.m. on October 18th. The final draft is expected to be adopted by the Council at its November 5th hearing, and the solicitation for projects will be sent shortly thereafter. Additional information and a copy of the guidelines can be found at:
http://sgc.ca.gov/planning_grants.html

State Auditor's Risk Report: The California State Auditor released its annual report at the end of September notifying the Governor and Legislature of high risk areas needing attention. The goal of the report is to help lawmakers focus state resources on improving service delivery, enhancing efficiency, and improving the effectiveness of state programs and departments. Most of the recommendations were previously noted in the Auditor's August 2011 report, with the new addition of 2011 public safety realignment. In total, nine specific issues were designated as needing immediate remedy, these include concerns expressed about the use of any budget surplus, retirement liabilities for PERS and CalSTRS, workforce succession planning.

With respect to transportation, it highlights the growing shortfall to maintain, manage and expand the State's transportation infrastructure. The report points to the California Transportation Commission's Statewide Transportation System Needs Assessment for the years 2011-2020, which catalogs a projected need of $536 billion while available funds over this period only total $290 billion. The Auditor's reported stated it will continue to monitor the Transportation Agency's efforts to develop a plan to prioritize needs, determine how to measure outcomes, evaluate the costs and benefits of policy options in order to use the funding we do have in an effective manner. A copy of the report can be viewed at http://www.bsa.ca.gov/pdfs/reports/2013-601.pdf.

LEGISLATION

Transit Grants will Flow: AB 1222 (Bloom & Dickinson) has been signed by the Governor. The Governor issued a press release announcing the enactment of AB 1222 and the filing of a lawsuit challenging the federal Department of Labor decision.

AB 1222 reflects an agreement reached between Governor Brown and US Department of Labor on a path forward on resolving whether California's recently enacted Public Employees' Pension Reform Act (PEPRA) conflicts with federal law. As you are aware USDOL notified transit operators in California that it is refusing to certify transit grants due to objections raised by labor groups that PEPRA infringes on federal law that protects the collective bargaining rights of transit employees.

Active Transportation Program: Governor Brown signed SB 99 into law. This bill enacts the Governor's January budget proposal to create the Active Transportation Program (ATP). The ATP proposal would consolidate the funds from the Bicycle Transportation Account, Safe Routes to School, the Environmental Enhancement & Mitigation Account, as well as federal Transportation Alternative Program funds and federal Recreational Trails Program funds. SB 99 essentially phases in the ATP, while some funding will continue to flow for recreational trails and EEMP.

The California Transportation Commission (CTC) is tasked with developing guidelines for the flow and use of these funds. In general the ATP will allocate 40% of the funds to metropolitan planning organizations, 10% small urban and rural regions, and 50% will be allocated in a statewide competitive grant program administered by the CTC. The CTC has announced a series of workshops to begin developing these guidelines. The first meeting is tomorrow, October 8, in Modesto following the CTC meeting. The remaining meetings are scheduled for October 17 in Sacramento, October 24 in Santa Rosa, and October 28 in Los Angeles.

CEQA: Senate Pro Tem Steinberg didn't accomplish all of the California Environmental Quality Act (CEQA) reforms he originally intended, but the Governor did sign into law SB 743. SB 743 streamlines the judicial review of lawsuits related to the Sacramento Arena project. SB 743 also addresses the findings of an Alameda Superior Court decision that found provisions of AB 900 unconstitutional. AB 900 was the CEQA streamlining effort for large projects selected by the Governor from a couple years ago that attempted to accelerate judicial review of CEQA cases by moving the cases to the Appellate Court level.

In particular, SB 743 was amended to include provisions of Senator Steinberg's CEQA modernization bill, SB 731. The provisions added to SB 743 would change the standard for determining traffic impacts for infill projects by eliminating the level of service standard currently used, and directs OPR and Resources to develop standards based on vehicle miles travelled, and revises provisions within the Congestion Management Act.

SB 743 establishes within CEQA the "Modernization of Transportation Analysis for Transit Oriented Infill Projects." These provisions direct the Governor's Office of Planning & Research (OPR) to develop guidelines for analyzing traffic impacts for projects located within a transit priority area and meet specified requirements. The analysis would not be based on LOS, but other criteria such as vehicle miles traveled and trip generation rates. OPR may also develop alternative guidelines for traffic analysis for projects outside of transit priority areas. OPR must release the draft guidelines by July 1, 2014.

October 7, 2013

All bills not sent to the Governor for consideration are now "two-year" bills and can be considered when the Legislature reconvenes in January. All two-year bills must be out of their house of origin by the end of January in order to remain alive. In addition, bills held on the Suspense Files in either the Senate or Assembly Appropriations Committees are also considered two-year bills, but these measures rarely move forward once they are held. The Governor now has until October 13th to sign or veto the bills sent to his desk.

Bills	Subject	Status	NCTPA ADOPTED POSITION
AB 431 (**Mullin** D) Regional transportation plan: sustainable communities	Although AB 431 was approved by the Assembly Local Government Committee, the author has agreed to make this a two-year bill due to concerns expressed by Self Help Counties and others. This bill is sponsored by the Nonprofit Housing Association of Northern California. This bill would authorize a transportation planning agency to place a sales tax measure covering a portion of its planning area. The expenditure plan must allocate 25% of the funds to each of the following: transportation, housing and parks & recreation.	ASSEMBLY TRANSP – Two Year Bill	WATCH
AB 513 (**Frazier** D) Tire recycling program: rubberized asphalt	AB 513 establishes the Rubberized Asphalt Concrete (RAC) Market Development Act, which expands and codifies CalRecycle's existing RAC grant program. This bill would provide state and local entities increased funding for paving projects that use waste tires. AB 513 directs CalRecycle to allocate $10 million annually for these grants.	Signed Into Law Chapter 499	SUPPORT

Bills	Subject	Status	NCTPA ADOPTED POSITION
<u>AB 574</u> **(<u>Lowenthal</u> D)** California Global Warming Solutions Act of 2006: Greenhouse Gas Reduction Fund: sustainable communities strategies	AB 574 was held on the Assembly Appropriations Committee's Suspense File. This essentially means this bill is dead. However, efforts are being pursued to incorporate AB 574 or a similar proposal into the budget process. The other measures, AB 416 and AB 1051, which also created grant programs for cap & trade revenues were also held on the Suspense File. AB 574 establishes a regional competitive grant program for projects that combine transportation investments with local land use changes. It is designed to implement regional GHG reducing plans in the most cost effective way while encouraging innovation, collaboration, and flexibility to address local needs and achieve the greatest GHG emission reductions. Eligible investments under the program include: • Funding for transit operations, maintenance, and infrastructure; • Clean transportation fueling infrastructure; • Transportation demand management; • Road and bridge maintenance and retrofits for complete streets, bike and pedestrian enhancements; • Safe routes to schools; • Regional and interregional rail modernization; • Community infrastructure to support transit oriented developments, affordable housing, infill, and walkable communities, and • Other uses that reduce GHG emissions.	ASSEMBLY APPR – Held on Suspense Two Year Bill	SUPPORT

Bills	Subject	Status	NCTPA ADOPTED POSITION
<u>AB 935</u> **(<u>Frazier</u> D)** San Francisco Bay Area Water Emergency Transportation Authority: terms of board members	Assemblyman Frazier has made AB 935 a two-year bill. AB 935 would expand the Water Emergency Transportation Authority board and specify that the seats represent specified counties AB 935 would divvy up the appointments to WETA as follows: • Of the Governor's three appointees one shall be a resident of San Francisco. • The Senate Rules Committee will have two appointees that shall include a resident of Contra Costa County and a resident of San Mateo County • The Speaker of the Assembly will have two appointees that shall include a resident of Solano County and a resident of Alameda County. • Each of the County appointees shall be selected from a list of three nominees provided by the transportation authority from each county. • If a transportation authority does not submit a list of three names within 45 days of a vacancy then the Governor shall appoint a resident from the specified county.	SENATE T & H – Two Year Bill	WATCH
<u>AB 1002</u> **(<u>Bloom</u> D)** Vehicles: registration fee: sustainable communities strategies	AB 1002 remains in the Assembly Local Government Committee. Because this bill is a "tax" measure, it is exempt from the hearing deadlines and technically can be heard at any time. However, passage of this bill does require a 2/3 vote on the Floor, and movement is unlikely. This bill includes a proposal to impose a $6 tax to the registration of each vehicle. The revenue would be deposited into the Sustainable Communities Subaccount, which the bill creates, and the proceeds would be distributed as follows: • 50% appropriated to cities and counties on a per capita basis for planning and implementation of sustainable communities strategies. • 40% appropriated to transportation commissions and transit operators to support transit operations and expand reduced fare programs. The bill does not specify how the funds would be allocated. • 10% appropriated to MPOs and RTPAs to be used for competitive grants for implementing sustainable communities strategy programs.	ASSEMBLY LOC GOV Two-Year Bill	WATCH

Bills	Subject	Status	NCTPA ADOPTED POSITION
AB 1002 **(Bloom D)** Vehicles: registration fee: sustainable communities strategies	AB 1002 remains in the Assembly Local Government Committee. Because this bill is a "tax" measure, it is exempt from the hearing deadlines and technically can be heard at any time. However, passage of this bill does require a 2/3 vote on the Floor, and movement is unlikely. This bill includes a proposal to impose a $6 tax to the registration of each vehicle. The revenue would be deposited into the Sustainable Communities Subaccount, which the bill creates, and the proceeds would be distributed as follows: • 50% appropriated to cities and counties on a per capita basis for planning and implementation of sustainable communities strategies. • 40% appropriated to transportation commissions and transit operators to support transit operations and expand reduced fare programs. The bill does not specify how the funds would be allocated. • 10% appropriated to MPOs and RTPAs to be used for competitive grants for implementing sustainable communities strategy programs.	ASSEMBLY LOC GOV Two-Year Bill	WATCH
AB 1222 **(Bloom D)** Public employees' retirement: collective bargaining: transit workers: transportation	AB 1222 creates a one year exemption from PEPRA (January 1 2015) for transit employees covered under the federal law. If the court determines PEPRA is in compliance with the Section 13(c) of the Federal Transit Act then the 1 year exemption will sunset. If the court says PEPRA is not in compliance then the exemption will be permanent. The one year exemption should allow other transit districts to receive federal funds while the litigation is proceeding.	Signed Into Law Chapter 527	WATCH

Bills	Subject	Status	NCTPA ADOPTED POSITION
AB 1290 **(John A. Pérez D)** Transportation planning	AB 1290 would make significant changes to the oversight responsibilities of the California Transportation Commission. The bill also expands the number of Commissioners from 13 to 15 members. Appointments made by the Senate and Assembly would increase from one to two each. However, one of the appointees made by the Senate and one by the Assembly would be a voting member. The other would be a nonvoting ex-officio member. The bill would also specify that the Chairperson of CARB would be an ex-officio member of the CTC. The bill also directs the CTC to monitor outcomes from land development and transportation investments pursuant to the sustainable communities strategies (SCS). The bill also requires RTPA's that prepare a SCS to report to the CTC on the progress in implementing the SCS, and the CTC must include an assessment of the SCS reports in the CTC's annual report.	Governor's Desk	WATCH
AB 1371 **(Bradford D)** Vehicles: bicycles: passing distance	AB 1371 would enact the "Three Feet for Safety Act." The purpose of this bill is to enable motorists to pass bicyclist at a safe distance of at least 3 feet. This proposal is similar to SB 910 (Lowenthal), which was vetoed by the Governor. AB 1371 authorizes drivers on two-lane highways to drive to the left of double solid yellow or other similar pavement markings to pass a bicyclist proceeding in the same direction if: • The left side of the road is clearly visible and free of oncoming traffic for a sufficient distance to permit the passing without interfering with the safe operation of vehicles approaching from the opposite direction, and, • The driver operates to the left of the pavement markings only as long as reasonable necessary to complete the passing maneuver.	Signed Into Law Chapter 331	SUPPORT

Bills	Subject	Status	NCTPA ADOPTED POSITION
SB 1 (Steinberg D) Sustainable Communities Investment Authority	SB 1 as approved by the Senate with a vote of 27-11. The bill is now awaiting referral to a policy committee on the Assembly. This bill would create a new form of tax increment financing that would allow local governments to create a Sustainable Communities Investment Authority to finance specified activities within a sustainable communities investment area.	Senate Floor -- Inactive File Two-Year Bill	WATCH
SB 469 (Corbett D) Public contracts: local agencies: public transit vehicles	SB 469 would require a local entity when awarding a contract to procure public transit buses to give a 10% preference to any bidder that agrees to manufacture the vehicles in California.	SENATE T. & H – Two-Year Bill	WATCH
SB 556 (Corbett D) Agency: ostensible: nongovernmental entities	Previously SB 556 would prohibit nongovernmental person or entity contracting with a public agency from displaying a seal or emblem of that public agency on a uniform or vehicle unless a disclosure statement is also conspicuously displayed identifying the uniform wearer or vehicle operator as not a government employee. SB 566 was amended on September 4th to limit the application of the disclosure requirements to contracts dealing with public health or safety services. The bill no longer applies to any transit service contracts.	Assembly Floor – Inactive File Two-Year Bill	WATCH
SB 613 (DeSaulnier D) Bay Area Toll Authority	SB 613 would generally prohibit the use of Bay Area Toll Authority (BATA) revenues from being used to invest in real estate. In addition, the bill would limit direct contributions from BATA to MTC to 1% of gross annual toll bridge revenues. The bill would allow additional contributions from BATA to MTC in the form of a loan to be repaid with interest. The total amount of loans could not exceed 1% of gross annual bridge toll revenue.	Signed Into Law Chapter 603	WATCH

Bills	Subject	Status	NCTPA ADOPTED POSITION
SB 791 **(Wyland R)** Motor vehicle fuel tax: rate adjustment	SB 791 remains in the Senate Committee on Transportation & Housing. The author pulled the bill from the April 30th agenda. SB 791 would eliminate the requirement for the BOE to adjust the "fuel swap" excise tax on annual basis, and instead require any calculated increase to be approved by a 2/3 vote of the legislature. SB 791 would strip this responsibility from the BOE, and require the Department of Finance to perform this calculation. If the calculation shows that the swap excise tax should be reduced then that adjustment if automatically made. If, however, the calculation results in an increase in the swap excise tax rate, the DOF must report that outcome to the Joint Legislative Budget Committee by March 1 each year. The proposed increase must be approved by a 2/3 vote of each house in order to take effect.	SENATE T & H – Two Year Bill	OPPOSE
SB 792 **(DeSaulnier D)** Regional entities: Bay Area.	SB 792 directs the Joint Policy Committee to prepare a regional organization plan with the goal of reducing overhead costs and integration of regional planning requirements. The plan shall be submitted to the JPC by December 31, 2014, and the JPC shall hold hearings in each county before adopting the plan by June 30, 2015. The bill also directs the JPC to develop community outreach policies, maintain a website, and beginning on January 1, 2014, the JPC shall review the plans and policies for implementing the sustainable communities strategy.	SENATE APPR. – Held of Suspense Two Year Bill	WATCH

Bills	Subject	Status	NCTPA ADOPTED POSITION
SCA 4 **(Liu D)** Local government transportation projects: special taxes: voter approval.	SCA 4 was approved by the Senate Committee on Transportation & Housing, and has since been referred to the Senate Committee on Appropriations. *Senator Liu accepted as author's amendments two suggested amendments listed in the Senate Transportation Committee analysis for SCA 4 and SCA 8. This first change would require a percentage of the sales tax revenue be used for projects the reduce GHG emissions from transportation sources. The second change would require a portion of the funds used on state highway project be given to the state for future maintenance needs. Senator Corbett did not accept these amendments, but committed to continue discussions about these proposed changes.* This measure would amend the Constitution to lower the voter approval threshold to 55% for the imposition, extension, or renewal of a local tax for transportation projects. SCA 4 was amended to require a local measure to include the following in order to be approved with a 55% vote: • Includes a specific list of projects and programs that will be funded and limits the use of the funds for those purposes, • Includes a requirement for annual audits, and • Requires the creation of a citizens' oversight committee.	SENATE APPRS – Two-Year Bill	SUPPORT & SEEK AMENDMENTS

Bills	Subject	Status	NCTPA ADOPTED POSITION
<u>SCA 8</u> **(Corbett D)** Local government transportation projects: special taxes: voter approval.	SCA 8 was approved by the Senate Committee on Transportation & Housing, and has since been referred to the Senate Committee on Appropriations. *The Senate Transportation Committee analysis for SCA 4 and SCA 8 propose two amendments. While Senator Liu agreed to amend SCA 4 to include these changes, Senator Corbett declined to make these change.* *This first suggested change would require a percentage of the sales tax revenue be used for projects the reduce GHG emissions from transportation sources. The second change would require a portion of the funds used on state highway project be given to the state for future maintenance needs. In addition, at the hearing housing advocates requested an amendment allowing the use of these sales tax funds for low income infill housing.* SCA 8 is another measure that would amend the Constitution to lower the voter approval threshold to 55% for the imposition, extension, or renewal of a local tax for transportation projects. SCA 8 was also amended to require a local measure to include the following in order to be approved with a 55% vote: • Includes a specific list of projects and programs that will be funded and limits the use of the funds for those purposes, • Includes a requirement for annual audits, and • Requires the creation of a citizens' oversight committee.	SENATE APPRS – Two-Year Bill	SUPPORT

Bills	Subject	Status	NCTPA ADOPTED POSITION
SCA 11 **(Hancock D)** Local government: special taxes: voter approval.	SCA 11 was approved by the Senate Committee on Elections & Constitutional Amendments. The measure has since been referred to the Senate Committee on Appropriations. SCA 11 is an "umbrella measure" on lowering the voter threshold from 2/3 to 55% for local sales taxes and parcel taxes. This measure would lower the vote threshold for any purpose. Since it applies to any special tax, this measure was not sent to Senate Transportation & Housing. Similar to SCA 4 and SCA 8, SCA 11 was also amended to require the following elements in the local measure in order to be approved by 55%: • Includes a specific list of projects and programs that will be funded and limits the use of the funds for those purposes, • Includes a requirement for annual audits, and • Requires the creation of a citizens' oversight committee.	SENATE APPRS – Two-Year Bill	SUPPORT

October 16, 2013
NCTPA Agenda Item 10.2
Continued From: New
Action Requested: APPROVE

NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY
Board Agenda Letter

TO: Board of Directors

FROM: Kate Miller, Executive Director

REPORT BY: Danielle Schmitz, Associate Planner
(707) 259-5968 / Email: dschmitz@nctpa.net

SUBJECT: Approval of Resolution No. 13-20 Authorizing the Submittal of an Application to the Metropolitan Transportation Commission (MTC) for Funding under the 2014 Regional Transportation Improvement Program (RTIP) Funding

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RECOMMENDATION

That the Napa County Transportation and Planning Agency (NCTPA) Board approve Resolution No. 13-20 (Attachment 1) authorizing the submittal of an application to the Metropolitan Transportation Commission (MTC) applying for RTIP funds in the amount of $8.921 million in three categories: (1) Planning, Programming and Monitoring - $165,000; (2) Other Funds - $8.051 million for Capital Improvement Projects; and (3) $705,000 in State Transportation Improvement Program (STIP) Reserve.

COMMITTEE RECOMMENDATION

The Technical Advisory Committee (TAC) recommends that the NCTPA Board approve submitting an application for RTIP funds in three categories: (1) Planning, Programming and Monitoring - $165,000; (2) Other Funds - $8.051 million for Capital Improvement Projects, and (3) $705,000 in STIP Reserves.

EXECUTIVE SUMMARY

The STIP is a multi-year capital improvement program of transportation projects on and off the State Highway System, funded with revenues from the State Highway Account and other funding sources. The STIP is composed of two (2) sub-elements: the RTIP and the Interregional Transportation Improvement Program (ITIP).

As the Regional Transportation Planning Agency (RTPA) for the Bay Area, the Metropolitan Transportation Commission (MTC) is responsible for developing regional project priorities for the RTIP for the nine (9) counties of the Bay Area. The biennial

RTIP is then submitted to the California Transportation Commission (CTC) for inclusion in the STIP.

MTC, in cooperation with NCTPA, the other Bay Area Congestion Management Agencies (CMAs) and Caltrans, is currently preparing the 2014 RTIP. For Napa County jurisdictions, the fund estimate is $7.089 million including funds for planning, programming and monitoring (PPM), some of which goes to MTC. These funds may be rolled over to the next cycle and accumulated towards future capital projects without penalty, if desired.

Qualifying capital projects must be listed in the Regional Transportation Plan, and if involving the State Highway System, must already have a Caltrans-approved "Project Initiation Document" (PID). In addition, because of the complexity of qualifying projects for federal funding, projects must have a minimum budget of $250,000 (for larger counties it is $500,000).

In the last RTIP (2012) the jurisdictions of Napa opted to program $3.825 million in Local Streets and Roads (LSR) funding... This practice is not excluded in policy, as the CTC provides for use on LSR maintenance. However, the CTC has routinely not supported use of these funds for LSR. The CTC deems that regions that allocate RTIP funds to LSR have no regionally significant projects and therefore do not warrant additional matching funds from the CTC for other major projects such as the Soscol Flyover, Highway 29 Airport interchange, etc. In the last STIP programming cycle the CTC awarded Napa only half the amount of funding it applied for in LSR funding which demonstrates this principle. The remaining half not programmed was rolled over into the 2014 STIP estimate for Napa County.

In the 2012 STIP Napa County had a project awarded in FY 2015-16 for $1.595 million. This project has been completed with other fund sources, leaving the $1.595 million to be added to the 2014 available STIP funds. Additionally, the City of American Canyon was awarded $268,000 in 2012 STIP funds for Lena Drive local street and road rehabilitation, this project is being completed with an alternate fund source. This brings the total amount of RTIP funds available for Napa County jurisdictions to $8.756 million.

Recently, NCTPA was notified by Caltrans about a number of anticipated construction change orders on the Jameson Canyon project. The estimated share for Napa is currently at $500,000. Staff is recommending that this amount be held in reserve until the actual amount is known.

PROCEDURAL REQUIREMENTS

1. Staff Report
2. Public Comment
3. Motion, Second, Discussion and Vote

FISCAL IMPACT

Is there a Fiscal Impact? Yes. $8.921 million in STIP funds

CEQA REQUIREMENTS

ENVIRONMENTAL DETERMINATION: The proposed action is not a project as defined by 14 California Code of Regulations 15378 (State CEQA Guidelines) and therefore CEQA is not applicable.

BACKGROUND AND DISCUSSION

MTC, in cooperation with NCTPA, the other CMAs and Caltrans, is currently preparing the 2014 RTIP. The 2014 RTIP provides approximately $95 million in new project capacity to the nine-county MTC-region. For Napa County jurisdictions, the total allocation is $7.089 million. Of this, $196,000 is allocated for PPM of which NCTPA will receive $165,000 and MTC will reserve $31,000.

Schedules

MTC released the RTIP Policies and Procedures on September 11, 2013. In order to meet the submittal deadline to the CTC, the CMAs have been asked to submit their draft project nominations to MTC by October 16, 2013, and their final project nomination packages to MTC by November 7, 2013. To be able to meet this deadline, NCTPA opened a call for projects at the July 17, 2013, Board Meeting.

Project selection was done by the Technical Advisory Committee (TAC). The NCTPA Active Transportation Advisory Committee (ATAC) also reviewed projects submittals at their September meeting. TAC approved a draft list of projects to be sent to MTC by October 16, 2013, and recommends to the NCTPA Board approve the RTIP projects at the October 16, 2013 Board meeting. Projects will be prioritized by their ability to meet the RTIP criteria (i.e. listed in the RTP and have an approved PID). The full description of the Regional Transportation Improvement Program (RTIP) can be found by going to http://www.mtc.ca.gov/funding/STIP/.

The MTC Programming and Allocations Committee will review the final project listing on December 11, 2013. MTC is scheduled to adopt the final 2014 RTIP on December 18, 2013, for submittal to CTC. The CTC is scheduled to adopt the 2014 State Transportation Improvement Program February 2014.

SUPPORTING DOCUMENTS

Attachments:
(1) Resolution No. 13-20
(2) Revised 2014 STIP Fund Estimate County Targets
(3) 2014 RTIP Project Selection Criteria and Application Checklist
(4) MTC 2014 STIP Development Schedule (Proposed)
(5) RTIP 2014 Napa County Project List

RESOLUTION No. 13-20

A RESOLUTION OF THE NAPA COUNTY TRANSPORTATION AND PLANNING AGENCY (NCTPA) AUTHORIZING THE SUBMITTAL OF AN APPLICATION TO THE METROPOLITIAN TRANSPORTATION COMMISSION (MTC) FOR FUNDING UNDER THE 2014 REGIONAL TRANSPORTATION IMPROVEMENT PROGRAM (RTIP)

WHEREAS, NCTPA (herein referred to as "APPLICANT") is submitting an application to the Metropolitan Transportation Commission (MTC) for $8,921,000 in funding from the 2014 Regional Transportation Improvement Program (RTIP) for Planning, Programming and Monitoring ($165,000); for Napa Countywide Capital Improvement Projects ($8,051,000), and for STIP Reserve ($705,000) (herein referred to as "PROJECTS") for the MTC 2014 RTIP, as authorized by MTC by Resolution No. 4118 (herein referred to as "PROGRAM"); and

WHEREAS, the Moving Ahead for Progress in the 21st Century Act (Public Law 112-141, July 6, 2012) and any extensions or successor legislation for continued funding (collectively, MAP 21) authorize various federal funding programs including, but not limited to the Surface Transportation Program (STP) (23 U.S.C. § 133), the Congestion Mitigation and Air Quality Improvement Program (CMAQ) (23 U.S.C. § 149) and the Transportation Alternatives Program (TA) (23 U.S.C. § 213); and

WHEREAS, state statutes, including California Streets and Highways Code §182.6 and §182.7 and California Government Code §14527, provide various funding programs for the programming discretion of the Metropolitan Planning Organization (MPO) and the Regional Transportation Planning Agency (RTPA); and

WHEREAS, pursuant to MAP-21, and any regulations promulgated thereunder, eligible project sponsors wishing to receive federal or state funds for a regionally-significant project shall submit an application first with the appropriate MPO, or RTPA, as applicable, for review and inclusion in the federal Transportation Improvement Program (TIP); and

WHEREAS, MTC is the MPO and RTPA for the nine counties of the San Francisco Bay region; and

WHEREAS, MTC has adopted a Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) that sets out procedures governing the application and use of REGIONAL DISCRETIONARY FUNDING; and

WHEREAS, APPLICANT is an eligible sponsor for REGIONAL DISCRETIONARY FUNDING; and

WHEREAS, as part of the application for REGIONAL DISCRETIONARY FUNDING, MTC requires a resolution adopted by the responsible implementing agency stating the following:

- the commitment of any required matching funds; and
- that the sponsor understands that the REGIONAL DISCRETIONARY FUNDING is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded with additional REGIONAL DISCRETIONARY FUNDING; and
- that the PROJECTS will comply with the procedures, delivery milestones and funding deadlines specified in the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised); and
- the assurance of the sponsors to complete the PROJECTS as described in the application, subject to environmental clearance, and if approved, as included in MTC's federal Transportation Improvement Program (TIP); and
- that the PROJECTS will have adequate staffing resources to deliver and complete the PROJECT within the schedule submitted with the project application; and
- that the PROJECTS will comply with all project-specific requirements as set forth in the PROGRAM; and
- that APPLICANT has assigned, and will maintain a single point of contact for all FHWA- and CTC-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans. FHWA, and CTC on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA- and CTC-funded transportation and transit projects implemented by APPLICANT; and
- in the case of a transit project, the PROJECTS will comply with MTC Resolution No. 3866, revised, which sets forth the requirements of MTC's Transit Coordination Implementation Plan to more efficiently deliver transit projects in the region; and
- in the case of a highway project, the PROJECTS will comply with MTC Resolution No. 4104, which sets forth MTC's Traffic Operations System (TOS) Policy to install and activate TOS elements on new major freeway projects; and
- in the case of an RTIP project, state law requires PROJECTS be included in a local congestion management plan, or be consistent with the capital improvement program adopted pursuant to MTC's funding agreement with the countywide transportation agency; and

WHEREAS, that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and

WHEREAS, there is no legal impediment to APPLICANT making applications for the funds; and

WHEREAS, there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECTS, or the ability of APPLICANT to deliver such PROJECT; and

WHEREAS, APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECTS as referenced in this resolution; and

WHEREAS, MTC requires that a copy of this resolution be transmitted to the MTC in conjunction with the filing of the application.

NOW, THEREFORE, BE IT RESOLVED that the APPLICANT is authorized to execute and file an application for funding for the PROJECT for REGIONAL DISCRETIONARY FUNDING under MAP-21 or continued funding; and be it further

RESOLVED that APPLICANT will provide any required matching funds; and be it further

RESOLVED that APPLICANT understands that the REGIONAL DISCRETIONARY FUNDING for the projects is fixed at the MTC approved programmed amount, and that any cost increases must be funded by the APPLICANT from other funds, and that APPLICANT does not expect any cost increases to be funded with additional REGIONAL DISCRETIONARY FUNDING; and be it further

RESOLVED that APPLICANT understands the funding deadlines associated with these funds and will comply with the provisions and requirements of the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) and APPLICANT has, and will retain the expertise, knowledge and resources necessary to deliver federally-funded transportation and transit projects, and has assigned, and will maintain a single point of contact for all FHWA- and CTC-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans. FHWA, and CTC on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA- and CTC-funded transportation and transit projects implemented by APPLICANT; and be it further

RESOLVED that PROJECTS will be implemented as described in the complete application and in this resolution, subject to environmental clearance, and, if approved, for the amount approved by MTC and programmed in the federal TIP; and be it further

RESOLVED that APPLICANT has reviewed the PROJECTS and has adequate staffing resources to deliver and complete the PROJECTS within the schedule submitted with the project application; and be it further

RESOLVED that PROJECTS will comply with the requirements as set forth in MTC programming guidelines and project selection procedures for the PROGRAM; and be it further

RESOLVED that, in the case of a transit project, APPLICANT agrees to comply with the requirements of MTC's Transit Coordination Implementation Plan as set forth in MTC Resolution No. 3866, revised; and be it further

RESOLVED that, in the case of a highway project, APPLICANT agrees to comply with the requirements of MTC's Traffic Operations System (TOS) Policy as set forth in MTC Resolution No. 4104; and be it further

RESOLVED that, in the case of an RTIP project, PROJECT is included in a local congestion management plan, or is consistent with the capital improvement program adopted pursuant to MTC's funding agreement with the countywide transportation agency; and be it further

RESOLVED that APPLICANT is an eligible sponsor of REGIONAL DISCRETIONARY FUNDING funded projects; and be it further

RESOLVED that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and be it further

RESOLVED that there is no legal impediment to APPLICANT making applications for the funds; and be it further

RESOLVED that there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and be it further

RESOLVED that APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and be it further

RESOLVED that a copy of this resolution will be transmitted to the MTC in conjunction with the filing of the application; and be it further

RESOLVED that the MTC is requested to support the application for the PROJECT described in the resolution and to include the PROJECT, if approved, in MTC's federal TIP.

Passed and adopted this 19th day of October

Ayes:

_____
Keith Caldwell, NCTPA Chair

Noes:

Absent:

ATTEST:

_____
Karalyn E. Sanderlin, NCTPA Board Secretary

APPROVED:

_____
Janice Killion, NCTPA Legal Counsel

Attachment 1
RTIP 2014 Projects for Napa County

ID #	Project Name	Sponsor	RTIP Request
1	PPM	NCTPA	$165,000
2	Silverado Five-Way Intersection Improvements	City of Napa	$1,153,000
3	Devlin Road Extension	American Canyon	$1,962,000
4	Eucalyptus Drive Extension	American Canyon	$1,154,000
5	California Roundabouts	City of Napa	$1,070,000
6	Improve Intersection at Petrified Forest Road and SR 128	Calistoga	$580,000
7	Hopper Creek Pedestrian Path between Oak Circle and Mission	Yountville	$500,000
8	Airport Boulevard Rehabilitation	Napa County	$1,332,000
9	Highway 29/ Grayson Ave. Signal Construction	St. Helena	$300,000
10	STIP Reserve	STIP Reserve	$705,000
		Total	$8,921,000

MTC Resolution No. 4118
Attachment 1-B, Revised

Revised 2014 STIP Fund Estimate County Targets

10/1/2013

Metropolitan Transportation Commission

All numbers in thousands

Table 1: County Share Targets

	a	b	c	a+b+c=d	e	d+e=f
	FY 2017-18 FY 2018-19 New Distrib.	**2012 STIP Carryover Balance**	**Lapses and Expired TE Reserve***	**2014 STIP Net Capacity**	**ARRA Backfill (Caldecott)**	**2014 STIP CMA Program Capacity**
Alameda	**31,785**	2,000	0	**33,785**	(2,000)	**31,785**
Contra Costa	**21,752**	5,000	1,486	**28,238**	(5,000)	**23,238**
Marin	**5,945**	(39,820)	245	**(33,630)**		**0**
Napa	**3,914**	2,678	497	**7,089**		**7,089**
San Francisco	**16,132**	(2,827)	0	**13,305**		**13,305**
San Mateo	**16,417**	3,728	2,964	**23,109**		**23,109**
Santa Clara	**37,760**	(19,262)	2,518	**21,016**		**21,016**
Solano	**9,852**	1,256	0	**11,108**		**11,108**
Sonoma	**12,113**	(21,840)	1,204	**(8,523)**		**0**
Bay Area Totals	**155,670**	**(69,087)**	**8,914**	**95,497**	**(7,000)**	**130,650**

Note: New County Share Total is the sum of unprogrammed balances, lapses, and new capacity for FY 2017-18 and FY 2018-19. Counties with negatives have a "$0" new share/capacity.
* Prior year lapsed funds returned to county share, and County Share TE Reserve now expired.

Table 2: Planning, Programming, and Monitoring Amounts
FY 2016-17, FY 2017-18, and FY 2018-19

	g	h	g-h=i	j	i-j	f-i
	PPM Limit FY 2016-17 FY 2017-18 FY 2018-19	**Currently Programmed for FY 2016-17**	**PPM Available for Programming MTC+CMA**	**MTC Share for FY 2017-18 FY 2018-19**	**CMA Share for FY 2017-18 FY 2018-19**	**2014 STIP CMA Program Capacity less PPM****
Alameda	**2,607**	1,017	**1,590**	275	**1,315**	**30,195**
Contra Costa	**1,782**	694	**1,088**	179	**909**	**22,150**
Marin	**487**	190	**297**	51	**246**	**0**
Napa	**321**	125	**196**	31	**165**	**6,893**
San Francisco	**1,321**	514	**807**	140	**667**	**12,498**
San Mateo	**1,352**	531	**821**	145	**676**	**22,288**
Santa Clara	**3,094**	1,206	**1,888**	321	**1,567**	**19,128**
Solano	**806**	314	**492**	85	**407**	**10,616**
Sonoma	**997**	391	**606**	102	**504**	**0**
Bay Area Totals	**12,767**	**4,982**	**7,785**	**1,329**	**6,456**	**123,768**

** Assumes CMA programs up to PPM limit.

J:\PROJECT\Funding\RTIP\14 RTIP\[Upd Final 2014 STIP FE Targets 2013-10-01.xlsx]Sheet1

2014 Regional Transportation Improvement Program
Policies, Procedures and Project Selection Criteria
Attachment C: 2014 RTIP Project Screening Criteria

Eligible Projects

A. **Eligible Projects.** SB 45 (Chapter 622, Statutes 1997) expanded the range of projects that are eligible for consideration in the RTIP. Eligible projects include, state highway improvements, local road improvements and rehabilitation, public transit, intercity rail, grade separation, pedestrian and bicycle facilities, transportation system management, transportation demand management, soundwall projects, intermodal facilities, and safety. Due to the current fund make up of the STIP, sponsors should expect that all projects programmed in the STIP should be eligible for federal funds.

Planning Prerequisites

B. **RTP Consistency.** Projects included in the RTIP must be consistent with the adopted Regional Transportation Plan (RTP), which state law requires to be consistent with federal planning and programming requirements. Each project to be included in the RTIP must identify its relationship with meeting the goals and objectives of the RTP, and where applicable, the RTP ID number.

C. **CMP Consistency.** Local projects must also be included in a County Congestion Management Plan (CMP), or in an adopted Capital Improvement Program (CIP) for counties that have opted out of the CMP requirement, prior to inclusion in the RTIP.

D. **PSR or PSR Equivalent is Required.** Projects in the STIP must have a complete project study report or, for a project that is not on a state highway, a project study report equivalent or major investment study. The intent of this requirement is to ensure that the project scope, cost and schedule have been adequately defined and justified. Projects with a circulating draft or final environmental document do not need a PSR. This requirement is particularly important in light of SB 45 timely use of funds requirements, discussed below.

   The required format of a PSR or PSR equivalent varies by project type. Additional guidance on how to prepare these documents is available on the internet at the addresses indicated within Part 3 (Project Study Report (PSR), or equivalent) of Attachment D: 2014 RTIP Project Application, which includes a table categorizing PSR and PSR equivalent requirements by project type.

Project Costs and Phases

E. **Escalated Costs.** All projects will count against share balances on the basis of their fully escalated (inflated) costs. All RTIP project costs must be escalated to the year of expenditure.

   As required by law, inflation estimates for Caltrans operations (support) costs are based on the annual escalation rate established by the Department of Finance.

   Local project sponsors may use the state escalation rates or their own rates in determining the escalated project cost in the year programmed.

F. Project Phases. Projects must be separated into the following project components:

1. Completion of all studies, permits and environmental studies (ENV)
2. Preparation of all Plans, Specifications, and Estimates (PS&E)
3. Acquisition of right-of-way (ROW)
4. Construction and construction management and engineering, including surveys and inspections." (CON)
   Note: Right-of-way and construction components on Caltrans projects must be further separated into capital costs and Caltrans support costs (ROW-CT and CON-CT).

The project sponsor/CMA must display the project in these four components (six for Caltrans projects) in the final submittal. STIP funding amounts programmed for any component shall be rounded to the nearest $1,000. Additionally, unless substantially justified, no project may program more than one project phase in a single fiscal year. Caltrans-sponsored projects are exempt from this prohibition. Additionally, right of way (ROW) funds may be programmed in the same year as final design (PS&E) if the environmental document is approved. ROW funds may be programmed in the same year as construction (CON) only if the project does not have significant right of way acquisition or construction costs that require more than a simple Categorical Exemption or basic permitting approvals (see section L). The CTC will not allocate PS&E, ROW, or CON funding until CEQA and NEPA (if federalized) documents are complete and submitted to CTC.

All requests for funding in the RTIP for projects on the state highway system and implemented by an agency other than the Department must include any oversight fees within each project component cost, as applicable and as identified in the cooperative agreement. This is to ensure sufficient funding is available for the project component.

G. Minimum Project Size. New projects or the sum of all project components per project cannot be programmed for less than $500,000 for counties with a population over 1 million (from 2010 U.S. Census data: Alameda, Contra Costa, and Santa Clara Counties), and $250,000 for counties with a population under 1 million (Marin, Napa, San Francisco, San Mateo, Solano, and Sonoma Counties), with the following exceptions:

(a) Funds used to match federal funds;
(b) Planning, Programming and Monitoring (PPM);
(c) Projects for landscaping and mitigation of State highway projects, including soundwalls;
(d) Caltrans project support components not allocated by the Commission; and
(e) Right-of-way capital outlay for Caltrans, which is not allocated by the Commission on a project basis.
(f) Other exceptions may be made on a case-by-case basis.

H. Fiscal Years of Programming. The 2014 STIP covers the five-year period from FY 2014-15 through 2018-19. The 2014 STIP has a shortfall in funding in the first three years, which may require counties to delay certain projects in order to align programming with available funding. If a project will not be ready for allocation in a certain year, project sponsors should delay funds to a later year of the five-year STIP period.

Readiness Standards

I. **Project Phases Must Be Ready in the Year Proposed.** Funds designated for each project component will only be available for allocation until the end of the fiscal year in which the funds are programmed in the STIP. Once allocated, the sponsor will have two additional years beyond the end of the programmed fiscal year to expend funds. For construction, the sponsor will have six months to award a contract and three years to expend funds after project award. Project sponsors must invoice at least once in a six-month period following the allocation of funds. It is therefore very important that projects be ready to proceed in the year programmed.

J. **Completion of Environmental Process.** Government Code Section 14529(c) requires that funding for right-of-way acquisition and construction for a project may be included in the STIP only if the CTC makes a finding that the sponsoring agency will complete the environmental process and can proceed with right-of-way acquisition or construction within the five year STIP period. Furthermore, in compliance with Section 21150 of the Public Resources Code, the CTC may not allocate funds to local agencies for design, right-of-way, or construction prior to documentation of environmental clearance under the California Environmental Quality Act (CEQA) and National Environmental Policy Act (NEPA) for federally-funded projects. Therefore, project sponsors must demonstrate to MTC that these requirements can be reasonably expected to be met prior to programming final design, right-of-way, or construction funds in the RTIP. Final CEQA documents (aside from Categorical Exemptions, or CEs) must be submitted to CTC prior to allocation. Additional information is available at: http://www.catc.ca.gov/programs/environ.htm.

K. **Programming Project Components in Sequential STIP Cycles.** Project components may be programmed sequentially. That is, a project may be programmed for environmental work only, without being programmed for plans, specifications, and estimates (design). A project may be programmed for design without being programmed for right-of-way or construction. A project may be programmed for right-of-way without being programmed for construction. The CTC recognizes a particular benefit in programming projects for environmental work only, since projects costs and particularly project scheduling often cannot be determined with meaningful accuracy until environmental studies have been completed. As the cost, scope and schedule of the project is refined, the next phases of the project may be programmed with an amendment or in a subsequent STIP.

When proposing to program only preconstruction components for a project, the implementing agency must demonstrate the means by which it intends to fund the construction of a useable segment, consistent with the regional transportation plan or the Caltrans interregional transportation strategic plan. The anticipated total project cost and source of any uncommitted future funding must be identified.

L. **Sequential Phasing.** For most projects, the different project phases should be programmed sequentially in the STIP, i.e. environmental before design before right of way before construction. Projects with significant right of way acquisition or construction costs that require more than a simple Categorical Exemption or basic permitting approvals, must not be programmed with the right of way and construction components in the same year as the environmental. Project sponsors must provide sufficient time between the scheduled allocation of environmental funds and the start of

design, right of way or construction. As prescribed in Section F, projects may not have more than one phase programmed per fiscal year, with the exceptions of Caltrans-sponsored preconstruction phases, and right of way (ROW) funds programmed with final design (PS&E) or construction (CON) where there are no significant ROW acquisitions necessary.

M. **The Project Must Be Fully Funded**. All local projects must be accompanied by an authorizing resolution stating the sponsor's commitment to complete the project as scoped with the funds requested. A model resolution including the information required is outlined in Attachment D - Part 1 of this guidance.

The CTC will program a project component only if it finds that the component itself is fully funded, either from STIP funds or from other committed funds. The CTC will regard non-STIP funds as committed when the agency with discretionary authority over the funds has made its commitment to the project by ordinance or resolution. For federal formula funds, including RSTP, CMAQ, and Federal formula transit funds, the commitment may be by Federal TIP adoption. For federal discretionary funds, the commitment may be by federal approval of a full funding grant agreement or by grant approval.

All regional agencies with rail transit projects shall submit full funding plans describing each overall project and/or useable project segment. Each plan shall list Federal, State, and local funding categories by fiscal year over the time-frame that funding is sought, including funding for initial operating costs. Moreover, should the project schedule exceed the funding horizon, then the amount needed beyond what is currently requested shall be indicated. This information may be incorporated in the project application nomination sheets.

N. **Field Review for Federally Funded Local Projects.** One way to avoid unnecessary STIP amendment and extension requests is to conduct a field review as early as possible, so potential issues may be identified with sufficient time for resolution.

For all projects in the 2014 RTIP (anticipated to be a mix of federal and state funding), the project sponsor agrees to contact Caltrans and schedule and make a good faith effort to complete a project field review within 6-months of the project being included in the Transportation Improvement Program (TIP). For the 2014 STIP, Caltrans field reviews should be completed by September 1, 2014 for federal aid projects programmed in 2014-15 and 2015-16. The requirement does not apply to planning activities, state-only funded projects, or STIP funds to be transferred to the Federal Transit Administration (FTA).

Other Requirements

O. **Availability for Audits.** Sponsors must agree to be available for an audit if requested. Government Code Section 14529.1 "The commission [CTC] shall request that the entity receiving funds accept an audit of funds allocated to it by the commission, if an audit is deemed necessary."

P. **Interregional Projects May Be Proposed Under Some Restrictive Circumstances.** The project must be a usable segment and be more cost-effective than a Caltrans alternative project. Government Code Section 14527 (c) "A project recommended for funding by the RTPA in the Interregional

Improvement Program shall constitute a usable segment, and shall not be a condition for inclusion of other projects in the RTIP." Government Code Section 14529 (k) "... the commission [CTC] must make a finding, based on an objective analysis, that the recommended project is more cost-effective than a project submitted by the department...."

Q. **Premature Commitment of Funds.** The project sponsor may not be reimbursed for expenditures made prior to the allocation of funds by the CTC (or by Caltrans under delegation authority), unless the provisions of Senate Bill 184 are met in accordance with the CTC Guidelines for Implementation of SB 184. Under no circumstances may funds be reimbursed for expenditures made prior to the funds being programmed in the STIP or prior to the fiscal year in which the project phase is programmed. In addition, the sponsor must make a written request to Caltrans prior to incurring costs, in accordance with Caltrans Locals Assistance Procedures for SB 184 implementation.

R. **State-Only Funding.** The 2014 RTIP is expected to be funded with a mix of federal and state funds. Project sponsors must federalize their projects by completing NEPA documentation and complying with federal project delivery rules, unless they are granted a state-only funding exception by the CTC. Project sponsors are expected to meet all requirements of Article XIX in selecting projects receiving state-only funding. This includes sponsors or the CMA providing documentation verifying the county passed a measure allowing for the use of state-only State Highway Account funds on fixed guideway projects, should RTIP funds be proposed for use on non-federalized fixed guideway transit projects.

S. **Federal Transportation Improvement Program.** All projects programmed in the STIP must also be programmed in the federal Transportation Improvement Program (TIP), regardless of fund source. Project sponsors are encouraged to submit TIP amendment requests immediately following inclusion of the project into the STIP by the CTC. The project listing in the TIP must include total project cost by phase regardless of the phase actually funded by the CTC. STIP projects using federal funds will not receive federal authorization to proceed without the project being properly listed in the TIP.

T. **Agency Single Point of Contact.** Project sponsors shall assign a single point of contact within the agency to address programming and project delivery issues that may arise during the project life cycle. The name, title, and contact information of this person shall be furnished to the CMA and MTC at the time of project application submittal. This shall also serve as the agency contact for all FHWA-funded projects.

2014 Regional Transportation Improvement Program (RTIP)
Attachment D: 2014 RTIP Project Application

Project sponsors must submit a completed project application for each project proposed for funding in the 2014 RTIP. The application consists of the following five parts and are available on the Internet (as applicable) at: http://www.mtc.ca.gov/funding/

1. Resolution of local support
2. Project Study Report (PSR), or equivalent
3. RTIP Project Programming Request (PPR) form (with maps) (must be submitted electronically)
4. Performance Measures Worksheet (if applicable)
5. Routine Accommodations Checklist (if applicable: check with CMA or on MTC's website, listed above)

Part 1: Sample Resolution of Local Support

Resolution No. _____
Authorizing the filing of an application for funding assigned to MTC and committing any necessary matching funds and stating the assurance to complete the project

WHEREAS, (INSERT APPLICANT NAME HERE) (herein referred to as APPLICANT) is submitting an application to the Metropolitan Transportation Commission (MTC) for (INSERT FUNDING $ AMOUNT HERE) in funding assigned to MTC for programming discretion, which includes federal funding administered by the Federal Highway Administration (FHWA) and federal or state funding administered by the California Transportation Commission (CTC) such as Surface Transportation Program (STP) funding, Congestion Mitigation and Air Quality Improvement (CMAQ) funding, Transportation Alternatives (TA) funding, and Regional Transportation Improvement Program (RTIP) funding (herein collectively referred to as REGIONAL DISCRETIONARY FUNDING) for the (INSERT PROJECT TITLE(S) HERE) (herein referred to as PROJECT) for the (INSERT MTC PROGRAM(S) HERE) (herein referred to as PROGRAM); and

WHEREAS, the Moving Ahead for Progress in the 21st Century Act (Public Law 112-141, July 6, 2012) and any extensions or successor legislation for continued funding (collectively, MAP 21) authorize various federal funding programs including, but not limited to the Surface Transportation Program (STP) (23 U.S.C. § 133), the Congestion Mitigation and Air Quality Improvement Program (CMAQ) (23 U.S.C. § 149) and the Transportation Alternatives Program (TA) (23 U.S.C. § 213); and

WHEREAS, state statutes, including California Streets and Highways Code §182.6 and §182.7 and California Government Code §14527, provide various funding programs for the programming discretion of the Metropolitan Planning Organization (MPO) and the Regional Transportation Planning Agency (RTPA); and

WHEREAS, pursuant to MAP-21, and any regulations promulgated thereunder, eligible project sponsors wishing to receive federal or state funds for a regionally-significant project shall submit an application first with the appropriate MPO, or RTPA, as applicable, for review and inclusion in the federal Transportation Improvement Program (TIP); and

WHEREAS, MTC is the MPO and RTPA for the nine counties of the San Francisco Bay region; and

WHEREAS, MTC has adopted a Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) that sets out procedures governing the application and use of REGIONAL DISCRETIONARY FUNDING; and

WHEREAS, APPLICANT is an eligible sponsor for REGIONAL DISCRETIONARY FUNDING; and

WHEREAS, as part of the application for REGIONAL DISCRETIONARY FUNDING, MTC requires a

resolution adopted by the responsible implementing agency stating the following:

- the commitment of any required matching funds; and
- that the sponsor understands that the REGIONAL DISCRETIONARY FUNDING is fixed at the programmed amount, and therefore any cost increase cannot be expected to be funded with additional REGIONAL DISCRETIONARY FUNDING; and
- that the PROJECT will comply with the procedures, delivery milestones and funding deadlines specified in the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised); and
- the assurance of the sponsor to complete the PROJECT as described in the application, subject to environmental clearance, and if approved, as included in MTC's federal Transportation Improvement Program (TIP); and
- that the PROJECT will have adequate staffing resources to deliver and complete the PROJECT within the schedule submitted with the project application; and
- that the PROJECT will comply with all project-specific requirements as set forth in the PROGRAM; and
- that APPLICANT has assigned, and will maintain a single point of contact for all FHWA- and CTC-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans. FHWA, and CTC on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA- and CTC-funded transportation and transit projects implemented by APPLICANT; and
- in the case of a transit project, the PROJECT will comply with MTC Resolution No. 3866, revised, which sets forth the requirements of MTC's Transit Coordination Implementation Plan to more efficiently deliver transit projects in the region; and
- in the case of a highway project, the PROJECT will comply with MTC Resolution No. 4104, which sets forth MTC's Traffic Operations System (TOS) Policy to install and activate TOS elements on new major freeway projects; and
- in the case of an RTIP project, state law requires PROJECT be included in a local congestion management plan, or be consistent with the capital improvement program adopted pursuant to MTC's funding agreement with the countywide transportation agency; and

WHEREAS, that APPLICANT is authorized to submit an application for REGIONAL DISCRETIONARY FUNDING for the PROJECT; and

WHEREAS, there is no legal impediment to APPLICANT making applications for the funds; and

WHEREAS, there is no pending or threatened litigation that might in any way adversely affect the proposed PROJECT, or the ability of APPLICANT to deliver such PROJECT; and

WHEREAS, APPLICANT authorizes its Executive Director, General Manager, or designee to execute and file an application with MTC for REGIONAL DISCRETIONARY FUNDING for the PROJECT as referenced in this resolution; and

WHEREAS, MTC requires that a copy of this resolution be transmitted to the MTC in conjunction with the filing of the application.

NOW, THEREFORE, BE IT RESOLVED that the APPLICANT is authorized to execute and file an application for funding for the PROJECT for REGIONAL DISCRETIONARY FUNDING under MAP-21 or continued funding; and be it further

RESOLVED that APPLICANT will provide any required matching funds; and be it further

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RESOLVED that APPLICANT understands the funding deadlines associated with these funds and will

comply with the provisions and requirements of the Regional Project Funding Delivery Policy (MTC Resolution No. 3606, revised) and APPLICANT has, and will retain the expertise, knowledge and resources necessary to deliver federally-funded transportation and transit projects, and has assigned, and will maintain a single point of contact for all FHWA- and CTC-funded transportation projects to coordinate within the agency and with the respective Congestion Management Agency (CMA), MTC, Caltrans. FHWA, and CTC on all communications, inquires or issues that may arise during the federal programming and delivery process for all FHWA- and CTC-funded transportation and transit projects implemented by APPLICANT; and be it further

RESOLVED that PROJECT will be implemented as described in the complete application and in this resolution, subject to environmental clearance, and, if approved, for the amount approved by MTC and programmed in the federal TIP; and be it further

RESOLVED that APPLICANT has reviewed the PROJECT and has adequate staffing resources to deliver and complete the PROJECT within the schedule submitted with the project application; and be it further

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RESOLVED that a copy of this resolution will be transmitted to the MTC in conjunction with the filing of the application; and be it further

RESOLVED that the MTC is requested to support the application for the PROJECT described in the resolution and to include the PROJECT, if approved, in MTC's federal TIP.

RTIP Project Application

Part 2: Project Study Report (PSR), or equivalent

The required format of a PSR or PSR equivalent varies by project type. The following table categorizes PSR and PSR equivalent requirements by project type. Additional guidance on how to prepare these documents is available on the Internet at the addresses indicated below, or from MTC.

Project Study Report (PSR) Requirements
PSR and Equivalents by Project Type

Project Type	Type of Document Required *	Where to get more information
State Highway	Full PSR or PD/ENV Only	*http://www.dot.ca.gov/hq/oppd/pdpm/pdpmn.htm*
Local Roadway a. rehabilitation	PSR for local rehabilitation	*http://www.dot.ca.gov/hq/LocalPrograms/public.htm* then look in "13. Project Study Report (Local Rehabilitation)"
b. capacity increasing or other project	PSR equivalent – project specific study with detailed scope and cost estimate	In most cases completing the Preliminary Environmental Study and Field Review forms in the Local Assistance Procedures Manual should be sufficient. These forms can be found at: Preliminary Environmental-- *http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm* then look in chapter 6 pg 6-31. Field Review -- *http://www.dot.ca.gov/hq/LocalPrograms/lam/lapm.htm* then look in chapter 7 pg 7-13.
Transit	State of California Uniform Transit Application	*http://www.dot.ca.gov/hq/MassTrans/Docs-Pdfs/state-uta-app-091906.pdf*
Traffic Congestion Relief (TCR) Program projects (Specific phase)	TCR program application for the phases of work included in the TCR application	For a Traffic Congestion Relief (TCR) Program project, a TCR program application is considered a PSR equivalent for the phases of work included in the TCR application *http://www.dot.ca.gov/hq/transprog/ocip.htm*
Other	PSR equivalent with detailed scope and cost estimate	To be determined on a case by case basis

* In some instances a Major Investment Study (MIS) prepared under federal guidance may serve as a PSR equivalent where information provided is adequate for programming purposes.

RTIP Project Application

Part 3: Project Programming Request (PPR) Form

Applicants are required to submit a Project Programming Request (PPR) form in order to be considered for funding from the 2014 RTIP.

The PPR for new projects can be downloaded from the following location:
http://www.dot.ca.gov/hq/transprog/ocip/pprs/PPR%20-%20New%20Projects%20-%207-8-13_FY%2014-15%20thru%2018-19.xls

The PPRs for existing projects can be downloaded from the following location:
http://www.dot.ca.gov/hq/transprog/ocip/2014stip.htm

Part 4: Performance Measures Worksheet

Applicants submitting nominations for projects with total project costs exceeding $50 million, have over $15 million in STIP funds programmed, or using over 50% of a county share (for the county share period) are required to submit a Performance Measure Worksheet.

The Worksheet template is available at the following location:
http://www.catc.ca.gov/programs/stip.htm

Select the "2014 STIP Guidelines" document. The template begins on page 43 of the guidelines, under "Appendix B: Performance Indicators, Measures, and Definitions".

Part 5: Complete Streets Checklist

Applicants are required to include the Complete Streets (Routine Accommodations) Checklist with the application submittal to MTC for projects that will have an impact on bicycles or pedestrians. The Checklist is available from the Congestion Management Agencies and at the MTC website at http://www.mtc.ca.gov/planning/bicyclespedestrians/routine_accommodations.htm.

METROPOLITAN TRANSPORTATION COMMISSION
2014 Regional Transportation Improvement Program
Development Schedule (Subject to Change)
September 5, 2013

March 5, 2013	Caltrans presentation of draft STIP Fund Estimate Assumptions (CTC Meeting – SF)
May 7, 2013	CTC adoption of STIP Fund Estimate Assumptions (CTC Meeting – Los Angeles)
June 11, 2013	Caltrans presentation of the draft STIP Fund Estimate and draft STIP Guidelines (CTC Meeting – Sacramento)
June 17, 2013	Partnership Technical Advisory Committee (PTAC) / Programming and Delivery Working Group (PDWG) discussion and review of initial issues and schedule for 2014 RTIP
June 28, 2013	Governor signs State Budget
July 15, 2013	PTAC and PDWG review of proposed RTIP Policies and Procedures
July 18, 2013	CTC holds STIP Fund Estimate Workshop and STIP Guidelines Hearing (Sacramento)
August 6, 2013	CTC adopts STIP Fund Estimate and STIP Guidelines (CTC Meeting – San Diego)
September 1, 2013	Caltrans STIP project cost increase and Caltrans-identified needs information due to MTC
September 4, 2013	Draft RTIP Policies and Procedures published online and emailed to stakeholders for public comment
September 11, 2013	MTC Programming and Allocations Committee (PAC) scheduled review and recommendation of final proposed RTIP Policies and Procedures
September 25, 2013	MTC Commission scheduled adoption of RTIP Policies and Procedures
October 16, 2013	**Draft Project Listings Due:** CMAs submit to MTC, RTIP projects summary listings and identification of projects requiring project-level performance measure analysis. Deadline to submit Complete Streets Checklist for new projects.
October 21, 2013	PTAC scheduled review of draft RTIP
November 7, 2013	**Final Complete Applications Due:** Final Project Programming Request (PPR) forms due to MTC. Final RTIP project listing, project-level performance measure analysis, completed project reports, and explanation of unaddressed Caltrans needs due to MTC. Final PSR (or PSR Equivalent), Resolution of Local Support, and Certification of Assurances due to MTC.
December 4, 2013	Draft RTIP scheduled to be available for public review
December 11, 2013	PAC scheduled review of RTIP and referral to Commission for approval
December 16, 2013	2014 RTIP due to CTC (PAC approved project list will be submitted)
December 18, 2013	**2014 RTIP Adoption:** MTC Commission scheduled approval of 2014 RTIP (Full RTIP to be transmitted to CTC within one week of Commission approval)
January 30, 2014	CTC 2014 STIP Hearing – Northern California (Location TBD)
February 4, 2014	CTC 2014 STIP Hearing – Southern California (Location TBD)
February 28, 2014	CTC Staff Recommendations on 2014 STIP released
March 20, 2014	**2014 STIP Adoption:** CTC adopts 2014 STIP (CTC Meeting – Orange County)

Shaded Area – Actions by Caltrans or CTC

2014 RTIP Projects - FY 14/15 to 18/19

ID #	Project Name	Sponsor	Description	Funding Type	FY 14/15	FY 15/16	FY 16/17	FY 17/18	FY 18/19	Total Request	Total Project Cost
1	Planning, Programming and Monitoring	NCTPA	PPM	STIP 2014						$165,000	
2	Silverado Five- Way Inetersection Improvements	City of Napa	Intersection geometry improvements, lane widening, travel land reconfiguration, and signal modification	STIP 2014				$1,153,000 (CON)		$1,153,000	$5,210,000
3	Devlin Road Extension	American Canyon	Extending Devlin Rd. approximately 2,500 feet to the south, connecting at Green Island Road	STIP 2014		$297,000 (PE)		$1,665,000 (CON)		$1,962,000	$2,881,800
4	Eucalyptus Drive Extension	American Canyon	Extending Eucalyptus Drive from Theresa Rd. to intersect with Hwy 29.and reconfiguring Eucalyptus and Theresa Road intersection.	STIP 2014				$1,154,000 (CON)		$1,154,000	$4,524,000
5	California Roundabouts	City of Napa	Roundabouts at First and California and Second and California	STIP 2014		$1,070,000 (CON)				$1,070,000	$5,369,000
6	Improve Intersection at Petrified Forest Road and SR 128	Calistoga	Intersection improvements to 4-way stop by adding signalization	STIP 2014		$105,000 (PE)	$50,000 (ROW)	$425,000 (CON)		$580,000	$650,000
7	Hopper Creek Pedestrian Path Project between Oak Circle and Mission	Yountville	Construct pedestrian bridge across Hopper Creek and construction of park path leading up to the bridge on both sides of creek	STIP 2014				$500,000 (CON)		$500,000	$500,000
8	Airport Boulevard Rehabilitation	Napa County	Rehabilitate Airport Blvd. between SR 29 and Napa County Airport, including AC pavement overlay and retrofit curb ramps.	STIP 2014			$57,000 (PE)	$1,275,000 (CON)		$1,332,000	$1,916,000
9	Highway 29/ Grayson Ave Signal Construction	St. Helena	Install traffic signal at Hwy 29 and Grayson Ave in St. Helena	STIP 2014	$300,000 (CON)					$300,000	$400,000
10	STIP Reserve	NCTPA	STIP Reserve	STIP 2014	$705,000					$705,000	
									Total	$8,921,000	$21,450,800